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CENTRALIZED BOOK ACQUISITION FOR NEW YORK STATE: PROPOSED COMPUTER SYSTEM. PART I. SYSTEM DEFINITION.

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A processing center which would meet both the cataloging and acquisitions needs of the public libraries of New York state has been proposed. Described in this report is the acquisition system, which provides for handling of both items received on standing order and items received separately. The state center obtains information as early as possible about new titles likely to be ordered by libraries in the system. Each new title is then assigned a number, usually the Library of Congress card number, and entered into the computer system with the appropriate descriptive information. Thereafter, ordering and other procedures are done by refering to the item number whenever possible. Requisition lists are produced describing each new title in the system from which most of the ordering is done. A supplier is assigned automatically after the requests are returned, and orders to the supplier, receiving worksheets and process control reports are generated. The latter two are used to communicate with the decentralized processing centers about shipments to be received and processing to be done. An accounting system is provided as well as preparation of a cataloging work sheet and of spine, book-card, and book-pocket labels, and catalog cards. Discussed in detail are the input and output forms as well as the relationship of the acquisition procedures to the cataloging procedures. (CM)

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CENTRALIZED BOOK ACQUISITION
FOR NEW YORK STATE:
PROPOSED COMPUTER SYSTEM
PART I: SYSTEM DEFINITION

SUBMITTED TO THE NEW YORK STATE LIBRARY

BY THEODORE STEIN

OCTOBER 1967

THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
THE NEW YORK STATE LIBRARY
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U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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THE UNIVERSITY OF THE STATE OF NEW YORK
THE STATE EDUCATION DEPARTMENT
THE NEW YORK STATE LIBRARY
ALBANY, NEW YORK 1967

INTRODUCTION

As part of its evaluation of the public library systems of New York State, the New York State Library engaged Nelson Associates to examine the acquisitions, cataloging, and preparation activities of those systems. Their report, issued in 1966 under the title Centralized Processing for the Public Libraries of New York State, recommended a single center to meet the cataloging and acquisitions needs of all of the public libraries of the State. It further suggested that the proposed center make extensive use of the new computer technologies.

The attached report details a system definition and design for the acquisitions portion of such a center. It was developed for the New York State Library by the Theodore Stein Company, under a contract made possible by LSCA funds. The present report is meant to be used in conjunction with a companion report prepared by the same group, entitled Proposed Computer System for Library Catalog Maintenance.

Data used in the development of this system was obtained from a study of the existing acquisition procedures of the Nassau Library System and the Suffolk Cooperative Library System. Grateful acknowledgment is made to the directors of those systems, Andrew Geddes and Guenter Jansen, and to their staffs, for their assistance and cooperation throughout the study. In particular, Ruth Weber and Richard Pfefferle were of considerable help in offering suggestions and criticisms. Final responsibility for the development of both the system definition and the system design resides, however, with the Theodore Stein Company.

John A. Humphry
Assistant Commissioner for Libraries

Albany, N.Y.
December 1967

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PART I

BASIC ASSUMPTIONS, GENERAL COMMENTS AND TERMINOLOGY

SECTION 1

ORGANIZATIONAL ASSUMPTIONS

Note: It is anticipated that the State Center will acquire and catalog non-book as well as book materials. Thus, throughout this report the word "item" will be used rather than "book".

(i) There will be a single center for cataloging and ordering to service library systems throughout the State. This center will be called the State Center. In addition, the present system of library system organization will be maintained and there will be a system headquarters for each library system.

(ii) Item receiving and physical preparation of the items will be decentralized at a number of preparation centers throughout the state. Very likely one of these centers will be at the State Center.

(iii) The State Center is associated with the collection of some library. Items received on standing order at the State Center will, if accepted, be prepared for the shelves and go into the collection of that library. These items will also be the basis for selection by a system headquarters associated with the State Center, and will be the items used in the cataloging process at the State Center.

(iv) Items will be received on standing order not only at the State Center but also at some of the system headquarters and individual libraries. The computer system will make provisions for accommodating the receipt of standing orders in all cases.

(v) Those branch library systems who receive items on standing order and use a display room for branch ordering will be provided with multiple requisition forms which can be kept with the items. Branch libraries can then after inspection of the items indicate their requisitions directly on these forms.

(vi) It is assumed that provision will be made so that, by and large, items will be received on standing order at the State Center before they are received at other system headquarters. In general, it is advantageous for the first notification of the existence of a title to occur at the State Center.

SECTION 2

EQUIPMENT ASSUMPTIONS

This system definition does not require any assumptions about the processing equipment used, although a particular system design to execute this system definition will require such assumptions. However, this system definition does make some assumptions about the input and output equipment.

(i) The description of the system as given here assumes the use of an optical character reader as an input device. This allows outputs produced by the computer system to be reused as inputs to the computer system without additional keyboard work, or with very little such work.

It may be possible to use an alternate and perhaps much less expensive input procedure without changing the system in any very important way. This procedure would involve the use of an optical mark reader in conjunction with a paper tape punch. Usually the only information which the character reader has to read on reentered computer outputs is an item number and a number of check marks in boxes. The item number could be both printer for human reading and coded as a series of marks. Thus all of the information required for reentry could be read by an optical mark reader. General entry of alphanumeric data into the machine could be done by means of a punched paper tape input device. The result of this scheme would be the replacement of a quite expensive character reader by a less expensive combination of mark reader and paper tape reader.

(iii) The main reason for the proposal to use the character reader is because of the large number of computer outputs which are reentered into the system as inputs. The system could operate without any type of optical reading at all. In this case it would be necessary to do a certain amount of additional punching on reentered computer outputs. This punching, in most cases, would consist only of an eleven-digit item number and a few one-digit codes. However, because of the very high volume of input this punching would be a fairly substantial load. More importantly, the additional punching would probably result in much more input error than would be the case with the character or mark reading system.

(iv) Certain inputs are not reentered computer output, but are originated at individual library system headquarters. It would be possible to equip the libraries and system headquarters with typewriters that have the machine-readable typeface and enter the inputs generated at these points directly into the computer system. On the other hand it might be advisable, for reasons of accuracy, to forward the inputs to the State Center and have them retyped there. This is an operational question that will have to be worked out in practice.

(v) Because of the reentry problem, the printer associated with the computer system would have to have the capability of printing in the machine-readable typeface.

SECTION 3

THE ITEM NUMBER

The basic identification for everything processed by the system is an item number. (Note that the word item is used throughout these specifications rather than the work book, since it is anticipated that the system will be processing non-book materials as well as book materials.)

(i) Each item will be identified by a unique item number. This item number will be assigned on first entry of any information about the item into the system, and all further reference to the item will be made by means of that item number.

(ii) The item number assigned will always be the Library of Congress card number when that number is available. When this number is not available a special New York State item number will be assigned to it. The system provides for a change from the New York State item number to the Library of Congress card number if this number becomes available some time after a New York State number has been assigned. (Note: American publishers are currently planning to adopt a uniform scheme for assigning book numbers. It appears likely that the Library of Congress will include this number in any catalog data which it provides. If this comes about then this publisher's book number should be used as the item number.)

SECTION 4

ORGANIZATION OF THE SYSTEM DEFINITION

The major organization of the system definition is by function. Parts III to V of this report explain the major functional areas. Within each of these parts are three "Divisions". "Division A" is devoted to a presentation of all inputs and outputs and the conditions under which they are used. "Division B" gives a detailed treatment of each field in each input. "Division C" gives a detailed treatment of each field in each output. Where a field in an input or output contains a code, the complete range of values of the code and the meaning of these values is not always given at the point where that field is explained. This is because certain codes are used in many inputs and outputs and it would be unduly repetitious to repeat the description for each use. Thus at the end of the report there is a list of all such codes with code values and meanings. When reading Division B or C in some parts of this report, it may be necessary to frequently refer to the lisiting of code values in order to get full understanding.

After all of the major functional areas are described, Part VII outlines the way in which cataloging functions are integrated with the acquisition functions of the system. Where necessary for completeness of description, cataloging inputs are also mentioned in the main body of the report. However, the detailed specification of the cataloging functions is not given here. This is given separately in another report.

SECTION 5

TERMINOLOGY WITH RESPECT TO INPUTS AND OUTPUTS

Throughout this sytem definition, an attempt has been made to use consistent terminology in the case of inputs and outputs. Two terms are used for input to the computer system -- notice and completed worksheet. Two terms are used for printed output -- worksheet and report.

1. Notice

An input form is called a notice when it is entered on a form which is not preprinted by the computer for reentry to the system. Examples of input notices are the library and supplier description notice, the requisition cancellation notice, and the acquisition notice.

2. Worksheet

When the computer prints a form which is to be utilized by the various users for the reentry of new information into the system, the form provided is called a worksheet.

3. Completed Worksheet

After a worksheet has been processed by a user; i.e., new information has been recorded on the worksheet to be reentered into the computer system, it is termed a completed worksheet. Examples of this type of form are the requisition worksheet and receiving worksheet, all of which will be used to record library decisions and activity for the list of items preprinted by the computer.

4. Report

Any output printed by the computer for information only and not to be reentered into the system, is called a report. Examples are the Items Overdue from Supplier Report and the Process Control Report.

PART II

OVERVIEW OF THE SYSTEM

The system attempts to obtain information about new titles likely to be ordered by member libraries at as early a point in time as possible. Item numbers are assigned to these items and the item number along with descriptive information and ordering information is entered into the computer system master files. Requisition lists are then produced for the member libraries showing item description and item number so that, to as great an extent as possible, the libraries can order by item number. Whenever the order is by item number the system is fully automatic and there is a minimum of manual intervention. If a library orders by author and title, certain manual processes will be needed. The library may order by item number if it has knowledge of item number as a result of the preprinted requisition worksheets prepared by the State Center: as a result of the entries in the book catalogs produced by the State Center, since these entries will show item number; or because the library has obtained the Library of Congress card number from either a copy of the item or from some published list that shows LC card number. Since the LC card number will be used by the computer system for identification whenever it is known, an order by LC card number will in most cases be processed fully automatically. Exceptions will occur in the case of some item which had never been entered into the computer system even though LC card number was available.

Initial information about new titles will be received at the State Center as the result of one of four procedures.

1. Arrangements will be made to receive information about forthcoming items in machine-readable form. It should be possible to obtain this information by arrangement with commercial organizations which collect and publish this type of information. It willvery likely be possible to obtain the information directly in machine readable form. Machine records will be maintained for those publishers with whom standing orders have been placed, and standing order receiving sets will be printed by the computer, as will be described below.

2. It is assumed that by the time the State Center is in operation, all of the catalog information produced by the Library of Congress will be available in machine-readable form and will be entered into the system as it is received.

3. If an item is received on standing order either at the State Center or at a library, and there is no matching standing order receiving set available, in the receiving room, then an acquisition notice will be prepared and submitted to the computer system.

4. A library that wishes to order an item that does not appear in one of the catalogs or on any of the requisition lists, will prepare a special requisition for that item.

The State Center will make arrangements with major publishers to automatically send their items to the State Center. Library systems that have also contracted to receive items on standing order, will notify the State Center of their plans. The computer system produces standing order receiving sets for the library associated with the State Center and those libraries that expect to receive items automatically. If the library decides to include the automatic copy in its collection, then the selection worksheet (part 1 of the standing order receiving set) is forwarded to the State Center. Entry of the selection worksheet into the computer initiates the production of a receiving worksheet, process control report, and process completion card which are forwarded to the appropriate processing center. When a book display room is used in connection with ordering, part 2 of the standing order receiving set - the multiple requisition worksheet - is inserted into the item which then goes to the display shelves. Branch libraries which decide to order the item after inspection can indicate their requests on the multiple requisition worksheet. Part 3 of the standing order receiving set - the claiming letter - is to be used only when an item that was supposed to arrive automatically is not received at the contracting library. The claiming letter is forwarded to the supplier as notification of non-receipt of item. If the item is received at the library, the claiming letter is discarded.

Libraries which do not use the multiple requisition worksheet for branch ordering, receive requisition worksheets produced by the computer.

The procedure is as follows: As noted above, all of the information received from the Library of Congress, and information about forthcoming items, is entered into the machine system under the appropriate item number; i.e., Library of Congress card number. (This information will allow the reception of orders by item number even if a notice for receipt of this particular item has not been entered at the State Center. The LC data will also be available to the cataloger at the time of cataloging.) Item numbers, inputted from certain selection lists, such as Choice, Library Journal, Kirkus, will be the basis for preparation of requisition worksheets at the State Center. These worksheets will be forwarded to member libraries and the completed requisition worksheet will initiate appropriate orders to the suppliers. This procedure is based on the assumption that items listed in the aforementioned selection guides are those most likely to be extensively ordered throughout the state. Thus, inclusion of these items on the requisition worksheet will expedite the ordering process. Consolidated libraries which order by means of the multiple requisition worksheet will not receive requisition worksheets, but will receive requisition guides listing the selected items to be ordered on the multiple requisition form.

In addition to the requisition worksheets, forms are provided to all libraries to be used as special requisition notices fororderring items not on the requisition worksheets. A copy of the special requisition notice can be retained by the library for its on-order file.

Generally, the library will want full descriptive information for its on-order file, and provision is made on the special requisition notice for entering author, title, date and place of publication, etc. However, the system will accept special requisition notices that contain only the item number, if the library decides to order by item number only. The computer system will accept a Special Requisition Notice from any library for any book at any time. (Except in those consolidated library systems where ordering is restricted to a selected list of titles.)

The libraries are also provided with forms to be used to notify the State Center that items have been received as gifts or that items formerly held in the collection have been discarded.

Acquisition notices, Library of Congress copy, and special requisitions are subjected to a process of matching by item number and by author and title. This process is designed to determine whether or not titles indicated as new to the system are actually new, whether proper item numbers have been used, and whether item numbers are available for entries made by author and title only. A series of listings is produced which reports errors, or suspected errors. Other listings allow the staff at the State Center to verify the computer decision that certain titles do not match on title and author or that they do match on title and author. When the machine makes title-author matches between information submitted with New York item number and information received with LC item number, there is provision for change-over to the Library of Congress item number.

The assignment of supplier is done automatically by the computer. This procedure is based on the assumption that in the majority of cases, a supplier could be assigned for the item based on its publisher. A master file of publishers and suppliers is maintained in the system and is used to designate the appropriate supplier based on the publisher of the item. In those cases where the publisher-supplier relationship cannot be used, the appropriate supplier will be manually supplied by the staff at the State Center. All manually submitted supplier assignments will take precedence over automatic procedures.

The completed requisition worksheet and the special requisition notice, when entered into the computer system, initiate the generation of orders to the supplier. At the same time, receiving worksheets and process control reports are prepared and forwarded to the processing center involved. The receiving worksheet is returned to the computer to record receipt of the item, and the process control report remains with the item until the processing is completed. Upon completion of processing, the computer must be notified so that shipping papers can be prepared and transmitted to the shipping room.

This point in the procedure justifies some expense to speed up the communication between State Center and Physical Preparation Center. The time required to send completed process control worksheets to the State Center and return shipping papers to the Preparation Center could significantly delay shipment. Thus the use of wire communications is assumed at this point. A punched card Process Completion Card is forwarded to the Preparation Center at the time that the Process Control Report is sent to the Preparation Center. When processing is completed this card is used to notify the State Center, via a punched card transmitter, that processing has been completed. The computer then produces data for shipping papers for the completed items. This data is wired back to the Processing Center. It can be received on punched paper tape and shipping papers can be printed on tape actuated typewriters, or it can be received on punched cards and the shipping papers can be prepared on a punched card accounting machine. Two copies of a shipping paper are prepared. One goes with the shipment as a packing slip. The other is retained by the shipping room for some period of time as a record of the shipment.

Since these communications facilities are proposed for use in shipping paper preparation, they would be available also for transmission of receiving information to and from the Preparation Center. However the time delay here is not critical, and some advantage is obtained by using the Completed Receiving Worksheet as the transmission medium from Preparation Center to State Center rather than using a punched card with its limitations on both punched and printed information. Operational experience will be needed to see if it is advantageous to use wire transmission in connection with the receiving process.

Invoices received from suppliers are typed onto invoice notices and entered into the system. The computer checks the validity of each invoice and verifies the invoice total. An invoice worksheet is the printed and forwarded to the accounting department. Any necessary adjustments or error corrections are made on the invoice worksheet. The worksheet is marked to indicate whether or not the invoice is approved, and the worksheet is returned to the computer system.

A voucher is prepared for all approved invoices; it is validated by the accounting department and returned to the computer which will then prepare checks to the supplier, print the check register, and prepare a report containing data for the General Ledger.

Various control functions related to the ordering procedure will automatically be performed by the computer system. For example, the computer programs will inspect the files for orders that have been outstanding too long and prepare reports of these orders.

At an appropriate point in the processing cycle, the computer system prints catalog data on a proof copy worksheet. This contains the bibliographic information currently held in the system, and it serves as the means for the cataloger to enter his decision on the bibliographic description that is to appear in the catalog. For items received on standing order, proof copy is prepared at the time that the item is recommended for acquisition (a selection notice has been entered). For items that have been ordered via the special requisition notice, proof copy is prepared at the time that the item is received.

The cataloger, working from the proof copy completes a catalog worksheet which contains the information necessary to prepare spine, book-card and book-pocket labels, catalog and shelflist cards. These are prepared and forwarded to the processing centers. For subsequent orders of the same item, the computer prepares these materials as soon as the order is processed, together with the receiving worksheets and process control reports. These are all sent to the appropriate processing centers.

After processing is completed, and shipping papers are prepared, the items are packed and sent to the ordering libraries. Each month several copies of a statement are sent to each member library, listing items shipped during the month, unpaid balance on previous billings, and items still on order by that library. When payment from member libraries are received, a notice is prepared at the State Center and entered into the system.

For consolidated systems, the bills will be sent to the system headquarters with a copy to the branch library. In addition, inputs will be accepted from the system headquarters assigning a budget to each branch and a monthly branch budget report will be prepared.

PART III

ITEM ENTRY, SELECTION, AND REQUISITIONING

DIVISION A

FUNCTION OF INPUTS AND OUTPUTS

Section 1

ENTRY OF NEW ITEMS INTO THE SYSTEM

The first information that the system receives about a new item must result from the entry of one of the following inputs:

Bibliographic Information Record
Acquisition Notice
Special Requisition Notice

a. Bibliographic Information Record

Bibliographic information records are of two types:

(i) Cataloging data received from the Library of Congress

(ii) Advance publication information

(i) Cataloging Data

The only such records which can be expected to be available in the near future are Library of Congress catalog records. However, in these specifications a general procedure for treating such records is given, and if, in the future, bibliographic data in machine-readable form becomes available from sources other than the Library of Congress, such as the British National Bibliography, the system will be able to process these records. For each such type of record, however, (including the LC record) a special edit routine will have to be written to cast the record into the standard internal computer form.

Bibliographic information records are acceptable only if they contain an item number. The present specifications provide for only two types of item number, the LC card number and the New York item number. If other types of item number are to be accepted, such as BNB number, provision will have to be made to guard against duplication with other types of item number or entry of the same item under two different item numbers. (Note that if present developments are carried to completion, L.C. card numbers will be replaced by publisher's number)

(ii) Advance Publication Information

This is data similiar to that currently available in the publication "Forthcoming Books". Each record would contain data about an item whose publication is planned. Mininum required information would be item no., author, title, and publisher. Additional information such as price would be useful. If arrangements can be made to receive this information in machine readable form, then the information is entered directly into the system. Otherwise a keyboarding operation must precede entry. This data is used for the following purposes:

(a) It allows processing of orders by item number at the earliest point in time at which libraries would ordinarily become aware of the item.

(b) Standing order receiving sets are printed for those libraries that receive items automatically..

(c) For those library systems that do not order by means of the multiple requisition worksheet, requisition worksheets are prepared in the following way. The list of items soon to be published is retained inactively on the files. Whenever one of these items is listed in one of the selection guides, such as Kirkus, Choice, Library Journal, etc., the item number and source is inputted to the system on a review notice. Periodically the computer prints a requisition worksheet listing these items and their sources.

b. Acquisition Notice

Acquisition notices are submitted in two cases:

(i) An item is received on standing order and a matching standing order receiving set has not been previously prepared by the computer.

(ii) A library acquires an item through a gift, exchange, or purchase out of the system.

(i) If an item is received on standing order at the State Center or at one of the member libraries, and a matching standing order receiving set has not been previously made available by the computer system, then the recipient prepares an acquisition notice and submits it to the computer. The notice has provision for indicating whether the item is to be processed at the library or at the processing center. It it is to be forwarded to the processing center, the computer will prepare a receiving and process control worksheet.

(ii) For any item which is acquired by a means other than receipt on standing order or a requisition processed through the State Center, an acquisition notice is submitted by the acquiring library. This is true for items acquired as gifts, through exchange, or in any way not associated with the State Center acquisition process.

c. Special Requisition Notice

If a library desires to place an order for an item which is not listed on the requisition worksheet, or if the library no longer has the requisition worksheet available, the library submits a special requisition notice. A copy of the special requisition notice can be retained by the library for its on-order file. For items that are already in the system, special requisition notices are accepted by the computer with full author-title information or with item number alone. However, for items that are new to the system, author, title, publisher and date must be entered on the special requisition notice.

SECTION 2

OUTPUTS PRODUCED AS A RESULT OF INITIAL ENTRY OF AN ITEM INTO THE SYSTEM

The following outputs are produced as a result of initial entry of new items into the system:

Standing Order Receiving Set
Requisition Worksheet

a. Standing Order Receiving Set

For every new item that is entered into the system because of advance publication information, or because the item was received automatically at the State Center with no advance notice, the computer will print a standing order receiving set for every library that has made arrangements to receive items on standing order. The standing order receiving set is a three-part form. Part 1, the selection worksheet, is used to notify the State Center that the item which was received automatically has been selected. Part 2 is used by libraries that display new books for branch library review. This multiple requisition worksheet is kept with the item when it is displayed for branch librarians. A library wishing to order the item will enter the library code and number of copies on the multiple requisition worksheet. Part 3 is the claiming letter which is used by a library which has not received the item automatically, as expected. Claiming letters for those items which were received, are discarded.

The selection worksheet has provision for indicating whether processing for the item received automatically is to take place at the library or at the associated processing center. If it is to be shipped to the processing center, a receiving and process control worksheet is prepared by the computer and forwarded to the processing center.

b. Requisition Worksheet

The bibliographic information records for an item (cataloging data received from LC and lists of items soon to be published) are kept on the computer files. When the item appears in one of the selection guides, such as Kirkus, Choice, Library Journal, etc., the item number together with the source is inputted to the system on a review notice. Periodically, these items are printed on a requisition worksheet which is forwarded to all libraries who do not use the multiple requisition worksheet for ordering. On the requisition worksheet the library indicates the number of copies, type of binding, and collection code for the items being ordered. The completed requisition worksheet is returned to the computer where it initiates the order to the supplier procedure.

SECTION 3

RECEIPT OF STANDING ORDERS AT SYSTEM HEADQUARTERS

The inputs used in connection with this function are:

Selection Worksheet
Acquisition Notice

Standing order receiving sets are forwarded, as described in Section 2, to each system headquarters that receives items on standing order. These are filed at the system headquarters. Probably the best method of filing would be by LC number for sets that have an LC number and by title and author for sets that have a New York number.

When an item is received automatically at the system headquarters, the file of standing order receiving sets is searched. If a matching set is found for the item, and the library decides to keep the item, the selection worksheet is returned to the State Center and the multiple requisition worksheet is inserted into the item if the item is to go on display. If a matching set is not found, then an acquisition notice is completed with author, title, publisher and date information. A carbon copy of the acquisition notice can then be used, if necessary, as the multiple requisition form.

It is advantageous to both the State Center and the system headquarters for the standing order receiving set to be used to as great an extent as possible. Therefore it may be advantageous for the system headquarters to follow the practice of holding an item for a few days before filling out an acquisition notice; during the interval, the matching receiving set may be received by the library from the State Center.

SECTION 4

GIFTS, EXCHANGES, PURCHASES, ETC. INDEPENDENT OF STATE CENTER

For any item which is acquired by a means other than receipt on standing order or a requisition processed through the State Center, the procedure given here is used. The input used is the acquisition notice.

If the item has an LC card number, then that number is entered on an acquisition notice. If there is no LC number, then the State Caralog is searched to see if the item is listed. If so, the item number is copied from the State Catalog onto the acquisition notice. If the library desires to process the item at the processing center, it must be indicated on the acquisition notice; receiving and process control worksheets are then produced by the computer.

The actual mechanics of checking to see whether or not an item is recorded in the files at the State Center will have to be worked out in practice. In many cases it may be desirable to check recent requisition worksheets as well as the Catalog. Also, the receiving library will generally not have available to it as much information as the system headquarters or State Center. Thus it might be necessary for the receiving library to obtain a copy of the Statewide Union Catalog from its system center and search the catalog to make this determination. Another method might be for the system center to perform this service for all of its member libraries and for the items to be sent to the system center to have the Catalog searched. A third method would be for the receiving library to assume that all such items are new titles, to complete acquisition notices for all of them, and to let the system center determine whether or not they are now, by the combined machine manual procedure described in section 3 of part 2. However, since a new title requires entry of full descriptive information about the item, whereas an item already in the sustem requires entry of item number only, it may save considerable time to search the catalog for item numbers, if it is fairly certain that most of the items received are not new to the system.

SECTION 5

RECOMMENDATION OF ITEMS

In consolidated systems, such as in New York City, member libraries may acquire items only after they have been selected by the reviewing committees. The input used to notify the State Center that an item has been selected is the selection worksheet. The output produced is the requisition guide.

When an item is received on standing order at a consolidated system, it is first forwarded to the reviewing committee. If the item is selected for acquisition by the system, the selection worksheet is returned to the computer system and the multiple requisition worksheet is put into the item which goes on the display shelves. The computer will print a requisition guide, listing all items that have been selected by the committee and which are now on display.

If the item is rejected, the standing order receiving set is discarded. There is no special notice required for rejection of an item. If an indication of selection has not been received from the system, the computer will reject all orders for that item from any member library.

SECTION 6

REQUISITIONING ITEMS

The inputs used for requisitioning are:

Completed Requisition Worksheet
Special Requisition Notice
Completed Multiple Requisition Worksheet

a. Completed Requisition Worksheet

The requisition worksheet is printed by the computer and forwarded to the libraries that do not use multiple requisitioning. Item number and library number are preprinted on the sheet. Bibliographic information is also present for use of the library, but is not read by the machine upon reentry. By placing X marks in the appropriate boxes, the library indicates which items it wants to order and the number of copies desired.

b. Special Requisition Notice

Forms are provided to all libraries to be used for ordering items which are currently not on the requisition worksheet. If the item is new to the system and the LC card number is not known, bibliographic information must be entered. Otherwise, item number alone is sufficient. However, the library will probably want to keep a copy of the special requisition notice for its on-order file and will probably enter author, title, publisher, and date even when the item number is known.

c. Multiple Requisition Worksheet

Part 2 of the standing order receiving set, the multiple requisition notice is only for those library systems that use a display room for branch ordering. It is inserted into the item and remains with the item during its display in the selection room. Provision is made on the single form for each one of the branches to indicate a requisition for the item. The number of copies desired is also entered.

All of these requisitioning inputs are entered into the system. The orders for each supplier are grouped together by supplier, item number, and processing center. Orders to suppliers are then printed by the computer.

SECTION 7

SUPPLYING ORDERING INFORMATION

The inputs used for this function are:

Completed Selection Worksheet
Completed Item Information Worksheet
Item Master File Notice

One output is produced:

Item Information Worksheet

a. Completed Selection Worksheet

The system is designed so that automatic assignment of supplier will be done by the computer based on the publisher of the item. However, in some cases automatic assignment cannot take place; in others, a new supplier must override the automatically assigned one or the original manually supplied supplier. Price information for the various bindings should also be entered into the system when it is known. This data is entered at the State Center on the selection worksheet. Only the State Center submits ordering information. When a system headquarters completes a selection worksheet, supplier and price are not entered; if the State Center has not already acquired the item sleected by the system center, special action is taken at the State Center to enter ordering information for this newly selected item.

b. Item Information Worksheet

After a selection worksheet has entered the system, the computer examines the machine record for that item. If it is discovered that all the ordering information has not been supplied (automatically or manually), the item is listed on the item information worksheet. This worksheet is then completed by the acquisitions department and returned with all ordering information to the system.

c. Item Master File Notice

If changes have to be made to ordering information already in the machine files, the changes are entered on the item master file notice.

It should be noted that any supplier information which is entered manually takes precedence over automatic assignment.

SECTION 8

WITHDRAWING ITEMS FROM A LIBRARY

The withdrawal notice is used to notify the system of the complete withdrawal of an item from a library.

The computer system keeps track of the holdings of all member libraries. However, the number of copies held at the library is not recorded. The system knows only the fact that at least one copy of the item is being held. Because of this, the withdrawal notice is to be used only when the last copy of an item has been withdrawn from a collection.

Forms with a preprinted identifying code will be provided to member libraries. The item numbers of all items that have been withdrawn from the library will be entered on the withdrawal notice.

SECTION 9

RETURNING ITEMS TO THE SUPPLIER

The inputs used to inform the system that an item is being returned to the supplier are:

a. Order Adjustment
b. Return Notice

a. The order adjustment is described in Part IV, Section 1C. The order adjustment is used to initiate a return for an item while it is still being processed; i.e., the item has not yet been shipped to a library.

b. The return notice is filled out by a library that has received an item from the preparation center which must be returned to the supplier (it is defective, for example). The return notice, when entered into the system, will generate an adjustment to the supplier account and an adjustment to the library account. If the item is to be reordered, the library indicates this on the return notice; a new order will be generated.

SECTION 10

CHECKING INPUT BY ITEM NUMBER AND AUTHOR-TITLE

Inputs describing activity for a specific item are entered into the system and identified by an item number or alphabetic description (author, title, publisher, date). The programs check these inputs and report any errors or questionable inputs.

The outputs listed by the computer are the following:

Item Number Error Report
Item Number Change Worksheet
Report to Library of Item Number not Processed

a. Item Number Error Report

This list of inputs for which the item number is in error is forwarded to the staff at the State Center for review. An input is listed on this report only if it is certain that an illegitimate item number has been used.

Certain inputs by item number are reentry of machine-produced outputs. Such inputs should always find an item number match on the item master file. If this does not occur the input is listed on the item number error report for inspection by the State Center staff and determination of the trouble.

An input used by the State Center staff to make changes to or deletions from one of the master files should always find a matching item number. If no match is found, the inputs are listed on the item number error report.

b. Item Number Change Worksheet

Inputs are listed on the item number change worksheet when, as a result of matching against the alphabetic file, there is reason to believe that an input entered under a new item number may refer to an item that is already in the computer system files, and thus an item number change should be made. This report is in the form of a worksheet on which the item number change can be indicated if the person reviewing the report verifies that the change should be made.

c. Report to Library of Activity Not Processed

The report to library of activity not processed is used in connection with inputs on which the item number is written by the library or system headquarters. If a match is not found against the item master file, than a mistake has been made in entering the item number or the number is a Library of Congress card number which they have obtained from some other source and which is not currently on the file at the State Center. Such mismatches are listed on a special report. A separate report is produced for each library or system headquarters involved. The inputs listed are grouped by type of input. On a report to a library, items from acquisition, special requisition, return, and withdrawal notices are printed separately. These are preceded by the following statement: "The following items are not in our files. Please check the item number. If the item number is correct, then please resubmit on notice giving complete descriptive information."

In consolidated systems an item must be selected by a reviewing committee before a member library may order the item. If a library places an order for an item that has not been selected by its system headquarters, the item is listed on the report to the library under the heading "orders not processed", followed by the code for unselected items.

SECTION 11

MISCELLANEOUS ADMINISTRATIVE INPUTS AND OUTPUTS

Inputs	Item Master File Notice Completed Item Number Change Worksheet
Outputs	Audit Report of Item Master File Changes

a. Item Master File Notice

The item master file notice allows the State Center staff to make changes to the records on the item master file. Item number changes can also be made with the item master file notice. This is the means through which corrective action is taken for errors and other change conditions noted on the reports produced by the computer or coniditions discovered through other means.

b. Completed Item Number Change Worksheet

As described in Section 9, a worksheet is printed by the computer listing all item numbers that may have to be changed. Staff at the State Center will indicate on the worksheet those item numbers that should be changed to item numbers already in the system. The completed worksheet is entered into the system and the necessary changes are made.

c. Audit Report-of Item Master File Changes

Every time an item master file change notice or an item information worksheet is processed, an entry is made on the audit report. The entry shows the change notice, the information previously on the file, and the information on the file as a result of the change.

DIVISION B

DETAILED DESCRIPTION OF INPUTS

The content of each input is given and the rules which determine what information is to be entered under various conditions is given. Actual layout of the input sheet is not given except in a few cases where there are some important computer-connected factors related to the layout.

Next to each field listed for the input is the number of characters required for the field. A"V" is present if the field is variable in length.

Section I

Acquisition Notice and Special Requisition Notice

Record ID	3	Edition	V	
New York Item No.	11	Date	4	
L.C. Card No. or New York Item No.	11	Price	5	)
Type of Material	2	Binding	2	)
Library or System Code	6	Collection Code	2	)
Main Entry	V	No. of Copies	2	) Repeated
Title	V	Catalog Cards Requested	1	) for each
Publisher	V	Processing Code	1	) binding
Place	V	Supplier Code	3	) code
		Description of Special Binding	V	))

Uses

a. Report of new items received on standing order
b. Report of items received as gift, exchange, etc.
c. Special requisition

Record ID

Identifes the notice as acquisition or special requisition

New York Item Number

Preprinted on the form (number will be used only for items that are new to the system)

L.C. Card Number or New York Item Number

If known, the L.C. card number or New York item number is entered here. If a number can not be found for the item, this field is left blank. If the field is blank, the machine will accept the preprinted New York item number as the number of the item. If there is an entry in this field, the machine will use this entry as the item number.

Type of Material

Identifies the item as book, phono-record, etc. No specific codes are suggested. The State Center will have to devise appropriate codes.

Library or System Code

Filled in by the library.

Main Entry, Title, Publisher, Place, Edition, Date of Publication

Copied from the title page (or equivalent of title page for non-book materials). This information is not necessary if the item is already in the system and the item number has been entered.

Price

Used only for special requisitions. Policy will have to be established with respect to this field. Some books have price printed on the jacket. It may be acceptable to have the typist enter this if available. On the other hand, it may be decided that price should only be entered by the Order Department of the State Center by means of the new title completion worksheet or directly on the special requisition.

Binding

The type of binding is entered here.

Collection Code

The code of collection for which the item has been acquired is entered here.

No. of Copies

Used only for special requisition notice; the number of copies requested is entered here.

Catalog Cards Requested

If the library wants a set of catalog cards for this item, a Y is entered here. If no cards are needed it is left blank.

Processing Code

If the library wants processing to take place at the preparation center, a "C" is entered here; receiving and process control sheets will then be forwarded. If local processing is to take place an "L" is entered in this field.

Supplier Code

Used only for special requisitions completed at the State Center. Libraries will not enter supplier code. If a new supplier must be provided, the staff at the State Center will enter the appropriate code.

Description of Special Binding

For items that have a variety of bindings, other than trade, library, and paperback, the staff at the State Center will devise a set of codes to describe each binding type. The libraries that complete the notice and are not aware of these codes, will enter SP (for special) in the binding code field and will enter the description in this field; for example, red leather bind, thumb indexed (for dictionary). The binding field includes any physical characteristic which changes the price of the item.

Section 2

SELECTION WORKSHEET

The fields on this computer printed form are the same as the fields for the acquisition and special requisition notice (Section I) and include the local acquisition code used only by libraries that restrict ordering by member libraries to selected items only.

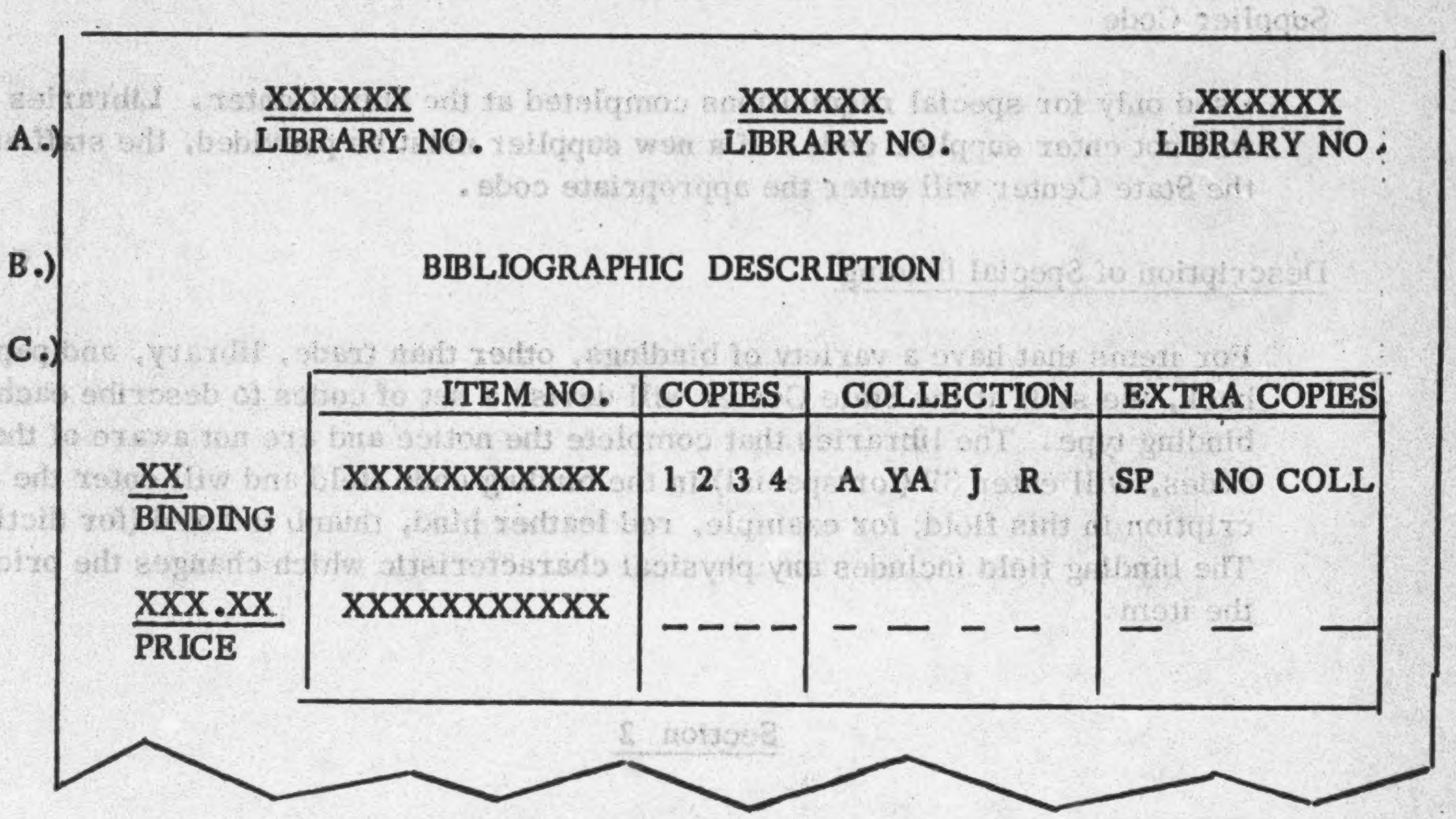
Local Acquisition Code (1 Character)

Used in connection with item received on standing order to indicate whether the item is to be acquired for the collection associated with the receiving point and whether the item is recommended for acquisition by member libraries. This allows recommendation of the item to system members and acquisition of the item by the central collection to be separately designated for those systems that review and select items before ordering. If an item is not to be acquired for the central collection; but is still recommended to other system members, an R is entered in this field. If the central collection intends to keep the item, an A is entered.

For the selection worksheet, the computer preprints all of the fields except collection code, catalog cards requested, processing and local acquisition code.

Section 3

Requisition Worksheet



A.) XXXXXX LIBRARY NO. XXXXXX LIBRARY NO. XXXXXX LIBRARY NO.

B.) BIBLIOGRAPHIC DESCRIPTION

C.)

	ITEM NO.	COPIES	COLLECTION	EXTRA COPIES
XX BINDING	XXXXXXXXXXXX	1 2 3 4	A YA J R	SP NO COLL
XXX.XX PRICE	XXXXXXXXXXXX	_ _ _ _	_ _ _ _	_ _ _

The requisition worksheet is preprinted by the computer. The library enters only the number of copies and the collection code.

Part A) appears once, at the top of the sheet. It is a single line.

Part B) appears once for each item listed on the sheet. It runs to as many lines as needed for the bibliographic description.

Part C) appears once for each binding of the item.

The repetition of library number and item number is done to minimize the chance of rejection in case the numbers are not readable by the machine.

To requisition an item, place an "X" under the number which indicates the number of copies desired. If collection codes are used at the library, place an "X" under the appropriate collection code.

A	Adult	J	Juvenile
YA	Young Adult	R	Reserve

The SP (special) designation is used only in the following two cases:

1. More than 4 copies of the item are desired.
2. The item is to be acquired in more than one collection.

In either case, check "SP" and enter the number of copies and the collection code in the spaces at the right. If the spaces at the right have been used and it is necessary to indicate further requisition for other collections, then the additional entries must be made on a special requistion notice. A copy of the worksheet is retained by the library for its own records.

Included in the bibliographic description is code and issue number of the journal that reviewed the item and caused its appearance on the requisition worksheet. The review notice entered into the system will contain the code and issue number of the journal.

SECTION 4

MULTIPLE REQUISITION WORKSHEET

A.)	XXXXXX System or Library No.	XXXXXX System or Library No.	XXXXXX System or Library No.
B.)	XXXXXXXXXXX Item No.	XXXXXXXXXXX Item No.	XXXX XXXXXXX Item No.
C.)	BIBLIOGRAPHIC DESCRIPTION		
D.)	XX TYPE OF BINDING & CODE		XXX.XX PRICE
E.)	BR NO. 1 2 3 4 A YA J R Spec. No. Col.		BR NO. 1 2 3 4 A YA J R Spec. No. Col.

Parts A and B and C appear once at the top of the form. It is a carbon copy of the printed data on the selection worksheet. Part D appears once for each binding. Part E appears as many times as needed to include all branches for each type of binding.

The repetition of system number and item number is intended to minimize the chance of rejection in case the numbers are not readable by the machine.

To requisition an item for a branch, the spaces to the right of the branch number must be filled in. These spaces are used exactly as described for the requisition worksheet. Just as described for the requisition worksheet, if the spaces provided on the form are not adequate, additional copies must be ordered on a special requisition notice.

SECTION 5

ITEM INFORMATION WORKSHEET

Record ID	3	Binding	2)	
Item Number	11	Price	5)	
New Item Number	11	Prepublication Price	5)	Repeated for
Type of Material	2	Expiration Date	6)	each binding
Bibliographic Description	V	Miscellaneous Codes	V)	
Supplier Code	3			

All of the data available in the computer record is printed by the computer. Staff at the State Center will fill in the missing information.

Any information that may be necessary in the ordering process is coded and entered as one of the miscellaneous codes. Examples of such codes are as follows:

1. **Item is out of print and not available**
2. **There is an extra long delay before receipt**

Actual experience with the system will probably point to other coded information that is necessary.

If an item number must be changed, the new item number is entered in the space provided.

SECTION 6

ITEM MASTER FILE NOTICE

The Item Master File Notice is an exact duplicate of the Item Information Worksheet. It is used when staff at the State Center must enter information for an item and no item information worksheet has been printed by the computer.

SECTION 7

WITHDRAWAL NOTICE

Record ID	3	Item Number	11)	Repeat for
Library Code	3	Binding	2)	each item
		Collection Code	2)	

For each item that is being withdrawn from the library, the item number binding and collection code are entered.

SECTION 8

RETURN NOTICE

The notice contains the library number, item number, binding code, collection code, number of copies, supplier code, and a code to indicate whether the item is to be reordered. If the reorder code is entered, the computer will generate a new order for the item.

The computer will update the supplier file by crediting the system for the returned item, and update the library file by crediting the library for the returned item.

SECTION 9

ITEM NUMBER CHANGE WORKSHEET

This is produced for reentry into the machine system after review. The format of each of the records (that match alphabetically and yet have different item numbers) is the same as for the input records, except that before each group of matching records one line will be printed.

☐ New Item Number ☐ System Item Number ☐ System Item Number ☐ System Item Number

If the inputs are to be changed to the item number already entered in the system, an X is inserted in the box preceding the system item number and an X is also inserted before the new item number to be changed.

If no change is necessary or no match has been found, an X is inserted before the new item number to indicate approval. If the worksheet is returned with approval, the item will be included in the system under the new item number. If a change to a system item number is indicated, the item will be kept under the system item number.

SECTION 10

REVIEW NOTICE

When an item is reviewed in one of the commercial journals, such as Kirkus, Choice, Library Journal, etc., a review notice is prepared and entered into the system.

The item number, journal code and issue number will be recorded on the notice.

DIVISION C

DETAILED DESCRIPTION OF OUTPUTS

SECTION 1

STANDING ORDER RECEIVING SET

The standing order receiving set is a three-part form:

a) Selection Worksheet
b) Multiple Requisition Worksheet
c) Claiming Letter, for Standing Order

For each new item entered into the system because of advance publication information or because it has been received automatically without advance notice (and was entered into the system with an acquisition notice), the computer prints a standing order receiving set. This is forwarded to all libraries that have made arrangements to receive items on standing order.

a. Selection Worksheet

The format of the selection worksheet is described in III.B Section 2. All of the information printed by the computer is derived from the input (bibliographic information record or acquisition notice) which entered the item into the system. The system or library code for the receiving library is derived from a table of codes stored in the machine.

b. Multiple Requisition Worksheet

The format of the multiple requisition worksheet is described in III.B Section 4. This is produced only for those systems that display items for branch ordering. Bibliographic information is limited to main entry and title since the worksheet will always be completed by the branch librarians while reviewing the item on the display room.

c. Claiming Letter for Standing Order

The claiming letter is used by the library to notify the publisher that an item which was to have been received on standing order has not yet arrived. All of the data printed by the computer on the selection worksheet also appears on the claiming letter. Preprinted on the claiming letter is the following statement:

This item has not been received on standing order.

SECTION 2

REQUISITION GUIDE

The requisition guide is produced to be used in conjunction with the multiple requisition worksheets by libraries that display items for branch ordering. All items for which selection worksheets have been received will be listed on the requisition guide. The following data will appear:

Library or system code
Item number
Main entry
Title
Publisher, date, place, edition
Binding, price

SECTION 3

REQUISITION WORKSHEET

The format of the requisition worksheet is described in III.B.Section 3. It is printed by the computer to be reentered into the machine system after processing by the library. The library number is obtained from the library number table kept in the machine system. An item is listed on a requisition worksheet when it appears in one of the commercial selection guides, such as Kirkus, Choice, etc. Bibliographic description is main entry, title, publisher, place, edition and date; binding and price are also listed. This data is derived from the bibliographic information record which originally entered the item into the system. The name and issue number of the reviewing journal also appears on the worksheet. The journal code and issue number was entered on the review notice and the journal name is derived from a table of codes and associated names maintained in the computer system.

SECTION 4

ITEM INFORMATION WORKSHEET

The format of the item information worksheet is described in III.B. Section 5. It is printed by the computer to be reentered into the machine system after completion by staff at the State Center. Bibliographic description is main entry, title, publisher, place, edition and date. All data that is related to ordering and available in the computer record is printed on the worksheet. Staff at the State Center will fill in the missing information and reenter the worksheet to update the computer files.

SECTION 5

ITEM NUMBER CHANGE WORKSHEET

The format of the item number change worksheet is described in III.B. Section 9. It is printed by the computer to be reentered into the machine system after review and completion by staff at the State Center. All items that match alphabetically but have different item numbers are listed on the worksheet. All bibliographic information available in the machine record for each item is printed on the worksheet to aid the reviewer in comparing the matching items.

SECTION 6

ITEM NUMBER ERROR REPORT

Each record on this report is a complete copy of the original input and is forwarded to staff at the State Center for review. Only if it is certain that the item number is in error, is an item listed on this report. Three types of errors are listed:

1. Invalid item number - too many or too few digits or missing completely.

2. Worksheets printed by the computer and reentered do not find a match on the computer files.

3. Input notices to make changes to computer files do not find a match on the files.

SECTION 7

REPORT TO LIBRARY OF ACTIVITY NOT PROCESSED

If the library or system headquarters enters an item number on an input notice, and no match is found, the computer will list the input record preceded by the following statement:

> The following items are not in our files. Please check the item number. If the item number is correct, then please resubmit on notice giving complete descriptive information.

The following input records will be listed separately:

1. Acquisition Notice
2. Special Requisition Notice
3. Withdrawal Notice
4. Return Notice

For consolidated systems that do not allow branch libraries to order items that have not been selected, any order for an unselected item will be included in this report to the library. A statement to the effect that the item has not been selected will precede the listing of the items.

SECTION 8

AUDIT REPORT OF ITEM MASTER FILE CHANGES

Periodically, all changes to the item master file initiated by an item master file change notice or an item completion worksheet are listed on this audit report.

The report will show the information previously on the file, the input notice, and the information on the file as a result of the change.

PART IV

ORDERING, RECEIVING

AND SUPPLIER PAYMENT

DIVISION A

FUNCTIONS OF INPUTS AND OUTPUTS

SECTION 1

ORDERING

a. Order to Supplier

On each order cycle all requisitions entered since the previous order cycle are grouped by item number and preparation center code. (Each library is associated with one preparation center. The preparation center assignment is made on a Library Description Notice. The preparation center for a requisition is obtained by lookup on library code against a file of information derived from library description notice.)

One order will be prepared for every supplier-preparation center for which order lines have been generated. The supplier associated with a requisition is obtained via lookup by item number on the item master file. Each item number is assigned a supplier either automatically by publisher or manually on a completed item information worksheet.

b. Receiving Worksheet and Process Control Report

This is a three-part form. The top part is the receiving worksheet; the second part is the receiving worksheet copy retained by the receiving room; the third part is the process control report. (A process completion card is also punched. Its function is described in Section V along with the complete description of the process control report.)

One of these sets is produced for each combination of order number and item number on a new order. One set is also produced for each combination of order number and item number for which the quantity on order or the quantity received has been changed for that item by an order adjustment or by a completed receiving worksheet. If, after a receiving worksheet or order adjustment is applied, the total quantity received equals the total quantity ordered, a new set is not produced.

On this form, one line appears for each combination of library number, collection code and binding represented in the order for this item.

If the receiving room has been notified by the supplier that the portion of the order which has not been received will not be shipped at all because it is unavailable, the receiving worksheet will be marked to indicate this information. In this case, the completed receiving worksheet will initiate the cancellation of the order and notification will be sent to the ordering library.

c. Order Adjustment

This can be entered to make arbitrary adjustments to on-order, receiving, or in-process data held in the computer system. It would be used to correct an error in the receiving or process control records; to reallocate on-order or in-process items from one library to another; to cancel orders; to cause return of received material to supplier. If it is used for order cancellation or return, it will cause the computer system to print out the appropriate cancellation or return document to be forwarded to the supplier (see article d. immediately following). If the supplier shipped the wrong items for an order, they will be returned. The order adjustment will be coded for cancel and reorder. The computer will cancel the order for these items and generate a new order to the supplier for the correct items.

d. Cancellation Report to Supplier and Return Report to Supplier

These result from introduction of an order adjustment marked either cancellation or return or a return notice from a library. One of these reports is produced for each line on the order adjustment or return notice.

e. Requisition Cancellation

After careful examination, it has been decided that cancellation of requisitions should be processed manually. Consideration was given to an automated cancellation scheme that would apply cancellations against most recent orders, and internally would reallocate items from cancelling libraries to ordering libraries. However, the complexities involved in implementing the program, the controls that would probably be necessary after implementation, and the minimum savings that would be gained using the system, all tend to favor a manual system, at least at the start of a centralized acquisitions system.

If after the needed practical experience has been gained, it seems feasible to initiate automatic cancellations, some changes in the system structure would be necessary to implement automatic cancellation.

SECTION 2
RECEIVING

a. Completed Receiving Worksheet

The completed receiving worksheet is the computer-printed worksheet marked by the receiving room and reentered into the computer system. This receiving worksheet is the first copy of the three-part receiving and process control set printed by the computer at order time. The second copy is filed in the receiving room, and the remaining two parts go with the items that have been received.

b. Corrections to Receiving Worksheet Errors

This type of correction is made by means of the order adjustment.

SECTION 3
SUPPLIER PAYMENT

a. Invoice Notice

On the order sent to the supplier, the computer will print the supplier number as the first part of the order number. The supplier will be expected to enter the State Center's order number on every invoice; thus the supplier number will also be available.

The invoice will be typed onto an invoice notice with the combined supplier/order number as leading information. For each line on the invoice the following information is typed: item number, number of copies, unit price, percent discount if any, and amount. If a percent discount is typed on a line with no other information, then it applies to all preceding lines. Special charges such as transportation costs will be typed as separate invoice lines with a specially assigned artificial item number uniquely identifying this charge. The total amount involved will also be entered.

The computer will multiply unit price by discount by quantity and check the validity of the amount of each line. The invoice total will also be checked.

b. Invoice Worksheet

An invoice worksheet will be prepared showing each validated line of the invoice notice, the amount ordered and the amount received. If the computer discovers any errors in any of the invoice lines, the worksheet is printed immediately with the errors flagged. If no errors are discovered on any of the invoice lines, the programs inspect receiving information as reported on the completed receiving worksheet for the lines of the invoice. If the amount received is greater than zero for every line on the invoice, the worksheet is printed. If the amount received is zero for any line on the invoice, and there are no errors on the invoice, the computer waits up to one week to obtain receiving information for all lines on the invoice. If, after this delay, zero lines are still present on the invoice, the worksheet will be printed with the zero lines flagged.

If the invoice is correct; i.e., there are no errors, no zero lines, and the invoiced amount equals the ordered and received amount, the worksheet is returned to the computer system with an indication that it has been approved.

However, in the following cases some adjustment will be made by the accounting department on the invoice worksheet, and it will be returned to the system which will then update the files and print a new worksheet for review and approval:

1. A line on the invoice is in error
2. No items have been received for a line on the invoice (zero line)
3. The amount of items ordered and invoiced is equal; the amount received is not the same.
4. The amount of items received and invoiced is equal; the amount ordered is not the same.
5. The amount of items ordered and received is equal; the amount invoiced is not the same.
6. The amount of items ordered, received, and invoiced is not the same.

In these cases, after the accounting department has made the adjustment and reentered the corrected invoice worksheet, the computer will print a new invoice worksheet, a copy of which will be forwarded to the order department. In some instances, it may be necessary for the order department to take some action to correct the discrepancy.

If, after an invoice worksheet has been printed, new information becomes available to the system through completed receiving worksheets, order adjustments or any other input that affects the invoicing process, a new invoice worksheet is printed immediately.

If, after an invoice worksheet has been completed and returned to the system, some new adjustment must be made to the invoice, the accounting department will use a blank form preprinted in the same format as the computer-produced worksheet. Order and invoice number must then be entered on this form by the accounting department.

c. Adjustment to Supplier Account

The information on the supplier invoices will not always be sufficient to control the preparation of checks to suppliers. There might be instances in which the accounting department will have to make special adjustments to the supplier account, either crediting him with additional amounts not shown on invoices or reducing the total amount due the supplier for some special reason. These special adjustments will be made by means of the Adjustment to Supplier Account.

d. Vouchers

On specified order cycles the computer system will prepare vouchers which are to be used as the basis for payment to suppliers. Every invoice which has been fully approved for payment as described above and has not been previously listed on a voucher, will be listed on the current voucher for that supplier. Every Adjustment to Supplier Account which has been entered since the last voucher was prepared will be listed on the voucher. The total due to the supplier will be shown on the voucher.

e. Validated Voucher

Vouchers will be inspected by the accounting department. If the voucher is entirely in order, it will be returned to the computer system unmodified. Reentry of the voucher number to the computer is the signal to the system that the voucher is valid for payment and the amount of this voucher will be included in the next check preparation run. If the voucher is not in order, then appropriate correction entries are made on a new invoice worksheet or a new adjustment to supplier account. This will cause a new voucher to be printed reflecting the changes.

f. Checks

On specified order cycles checks will be prepared for all validated vouchers.

g. Check Register

Whenever checks are prepared, a check register will also be printed listing each check which has been prepared on that order cycle.

h. General Ledger Summary Report

For posting to the general ledger a summary report will be prepared monthly. This will list all amounts reported on completed invoice worksheets and adjustments to supplier accounts. They will be in sequence by account number. Within account number, sequence is by invoice or adjustment number. The debit and credit total for each account will be given. Within each account number, one line appears for every invoice number or adjustment number for which a debit or credit to this account was indicated. One total line appears for each account.

SECTION 4

MISCELLANEOUS ADMINISTRATIVE INPUTS AND OUTPUTS

a. Supplier Description Notice

This notice is entered to provide descriptive information for a new supplier or to change the descriptive information for an existing supplier.

b. Items Overdue from Supplier

The computer system will be supplied with a standard order delay time that will be applied to all items unless a specific delay time is provided for a particular item or for a supplier. A specific delay time for an item will be entered on the item description change notice. A specific delay time for a supplier will be entered on a supplier description notice. The order of priority in application of these delay times is: item delay time, supplier delay time, and standard delay time. If an order for an item has been outstanding for a length of time greater than the delay time applicable to that item, then that item will be listed on the next report of items overdue from supplier. It will be listed again each time another time period equal to the delay time has gone by and the item has not yet been reported as having been received. One line appears on the report for each combination of overdue order number and item number.

c. Claiming Letters

Each time an item is listed on the items overdue from supplier report, a letter to the supplier will also be printed, asking for shipment of the item. A maximum of two claiming letters will be printed for an overdue item. The second letter will note that no action has been taken on the previous letter forwarded to the supplier. If an item still appears on the overdue list after two claiming letters were forwarded to the supplier, no more action will be taken by the computer. This will be handled on a manual basis.

DIVISION B

DETAILED DESCRIPTION OF INPUTS

SECTION I

ORDER ADJUSTMENT

SUPPLIER CODE	ORDER NO.	ITEM NO.	BINDING	LIBRARY NO.	COLL. CODE	CHANGES						CANCEL	RETURN	REORDER
						±	Q ORDERED	±	Q RECEIVED	±	Q PROCESSED			

Supplier Code, Order Number

Same as on the order to which the change is to be applied. There must be an order in the computer file with this code combination or the order adjustment will be rejected.

Item Number, Binding, Library Code and Collection

This identifies the entry on the order that is to be changed. It is not necessary that these codes be present on the order. If they are not present, this indicates that a new line is to be introduced onto the order. This would be done in the case of a reallocation where on one adjustment a library or code will be eliminated and on another adjustment the amount of the item will be allocated to a new library or new code.

Quantity Ordered, Quantity Received, Quantity Processed

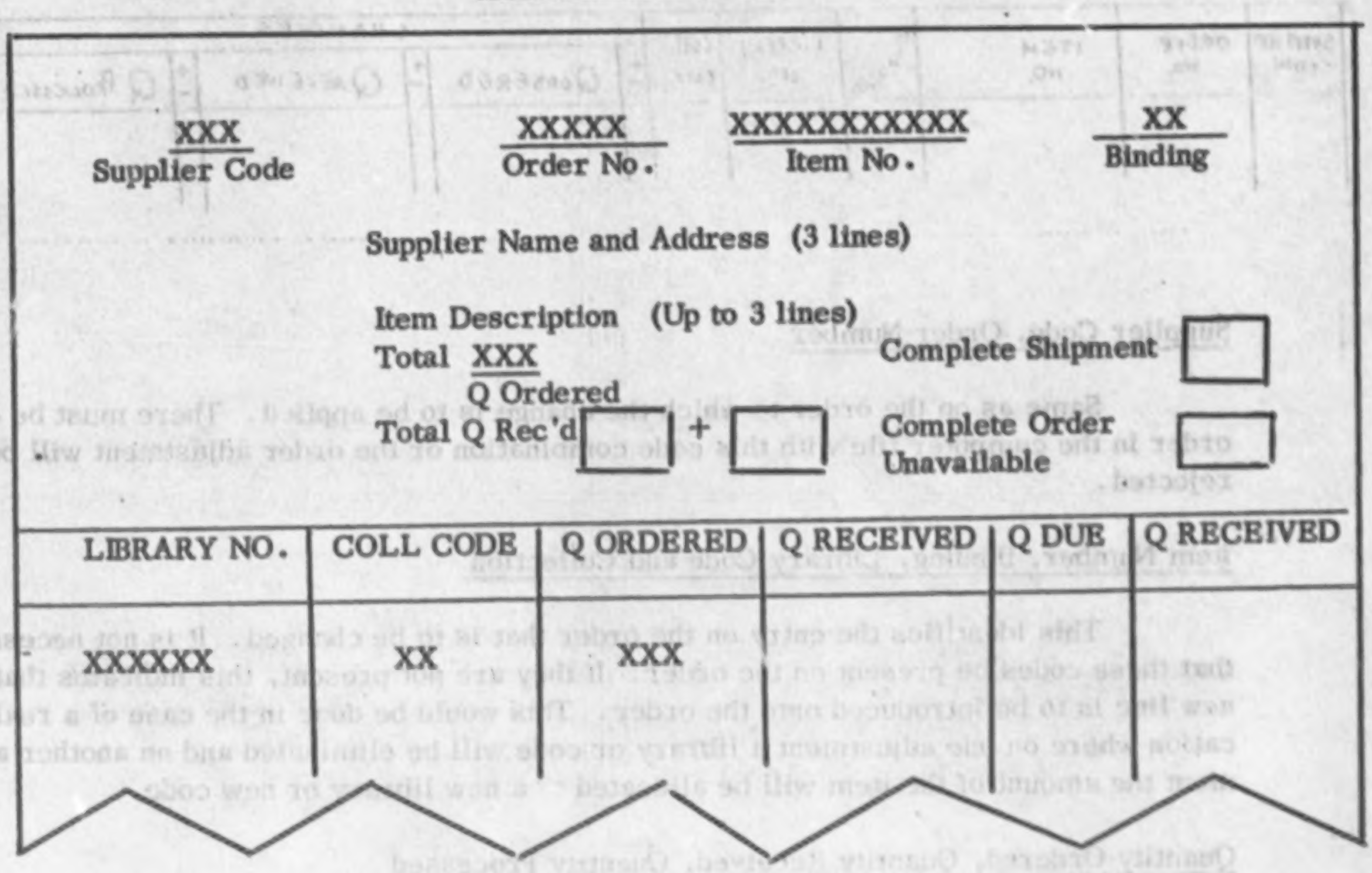
The adjustment to the current values are entered here. The plus or minus sign is entered into the designated column to indicate whether the adjustment is an addition or a subtraction. Note that this is the quantity to be added to or subtracted from current value. It is not the new value. The adjusted value of the quantity received cannot exceed the quantity ordered or the adjustment will not be applied, and an error will be reported. To eliminate an item from the order, the quantity ordered is changed to zero by entering the current quantity preceded by a minus sign.

Cancel, Return, Reorder

These can only be indicated if a negative adjustment appears in the quantity ordered column. In addition to adjusting the order in the computer files, the computer system will prepare an order cancellation for transmission to the supplier if the cancel box is checked. If the return box has been checked, the computer system will prepare a return paper, which will go to the receiving room, and which the receiving room will use to select the items to be returned. The return paper is a 2-part form; one copy goes with the items to the supplier, the other remains in the receiving room. If along with the cancellation, a new order for the item is to be placed, the reorder box is checked; the computer then prepares a new order to the supplier.

Section 2

Receiving Worksheet



XXX	XXXXX	XXXXXXXXXXX	XX
Supplier Code	Order No.	Item No.	Binding

Supplier Name and Address (3 lines)

Item Description (Up to 3 lines)

Total XXX Q Ordered

Complete Shipment ☐

Total Q Rec'd ☐ + ☐

Complete Order Unavailable ☐

LIBRARY NO.	COLL CODE	Q ORDERED	Q RECEIVED	Q DUE	Q RECEIVED
XXXXXX	XX	XXX			

The receiving worksheet is printed by the computer, completed by the receiving room staff and reentered into the system. Derivation of the data is described in IV C Section 3.

The computer prints the following information:

supplier code
order no.
item no. and binding code
supplier name and address
item description
total quantity ordered
library no.
collection code
quantity ordered

If the complete order was received, the box marked complete shipment is checked; no further entry is required. If only part of the shipment was received, the actual total quantity received is entered into the first box (use of the second box is described in the next paragraph). The number of items allocated to individual libraries and collections is entered in the quantity received column. Some simple rule should be developed for allocation of partial shipments. Possibly it may be simpliest to allocate in the same order in which libraries are listed on the worksheet. If only one library is listed, allocation is of course not necessary, since the entire amount received will be allocated to this library. If the supplier has notified the center that the partial shipment constitutes all that can be filled for this order-item number-binding combination, then the complete order unavailable box is checked. The computer system will then initiate the necessary order adjustments and prepare notification to the ordering libraries that the item is currently unavailable (out of print, for example).

If a partial shipment has been received, and notification of unavailability has not been received, the receiving worksheet is reentered into the system. The computer then prepares a new receiving worksheet for the remaining part of the shipment.

Total Q Rec'd [XXX] + ☐ Complete Order Unavailable ☐

LIBRARY NO.	COLL CODE	Q ORDERED	Q RECEIVED	Q DUE	Q RECEIVED
XXXXXX	XX	XXX	XXX	XXX	

The computer prints the total quantity received so far. For each library and collection the quantity ordered, the total quantity received so far, and the quantity due are printed by the computer. The receiving room then enters in the second box the new total, quantity received, and for each library and collection the new allocations are entered in the quantity received column.

Section 3

Invoice Notice

The data on the invoice received from the supplier will be typed onto an invoice notice.

Supplier No. Invoice No.

ITEM NO.	BINDING	NO. OF COPIES	UNIT PRICE	% DISC.	TOTAL AMT.

If a percent discount is typed on a line with no other information, then it applies to all preceding lines. Special charges, such as transportation costs will be typed as separate invoice lines with a specially designed artificial item number to identify each special charge.

Section 4

Invoice Worksheet

The invoice worksheet is printed by the computer to be reviewed and adjusted by the accounting department and reentered into the system. Derviation of the printed information is described in IV C, Section 4.

SUPPLIER NO.	INVOICE NO.	INVOICE TOTAL		APPROVED
XXX	XXXXXX	XXX. XX		

BIBLIOGRAPHIC DESCRIPTION	ORDER NO.	ITEM NO.	BINDING	Q ORDERED	Q RCVD.	Q INVOICED	UNIT PRICE	INV. AMT.	OTHER INVOICES INV. NO.	OTHER INVOICES Q
XX ——— XX	XXXXX	XXXXXXXXX.XX	XX	XXX	XXX	XXX	XXX.XX	XXXX.XX	XXXXX	XXX
XX ——— XX			XX	XXX	XXX	XXX	XXX.XX	XXXX.XX	XXXXX	XXX
XX ——— XX			XX	XXX	XXX	XXX	XXX.XX	XXXX.XX	XXXXX	XXX
									XXXXX	XXX
			XX	XXX	XXX	XXX	XXX.XX	XXX.XX	XXXXX	XXX

If the invoice is correct as printed by the computer, it is reentered into the system after the approved box is checked. If adjustments are made, the computer will uptake the files and print a new worksheet for review and approval.

If adjustments such as discounts, must be made to the invoice as a whole, instead of on an item-by-item basis, they are entered as additional lines with pre-established artificial item numbers.

Section 5

ADJUSTMENT TO SUPPLIER ACCOUNT

Supplier Number

Number that has been assigned to the supplier whose account is to be adjusted.

Adjustment Number

Arbitrary machine assigned number.

Description

Any appropriate description that states the nature of the adjustment.

Amount

Amount of the adjustment preceded by a plus or minus sign as the case may be.

Section 6

SUPPLIER DESCRIPTION NOTICE

Name and Address

The correct name and mailing address of the supplier.

Code

The supplier code that is to be assigned or has been assigned to the supplier.

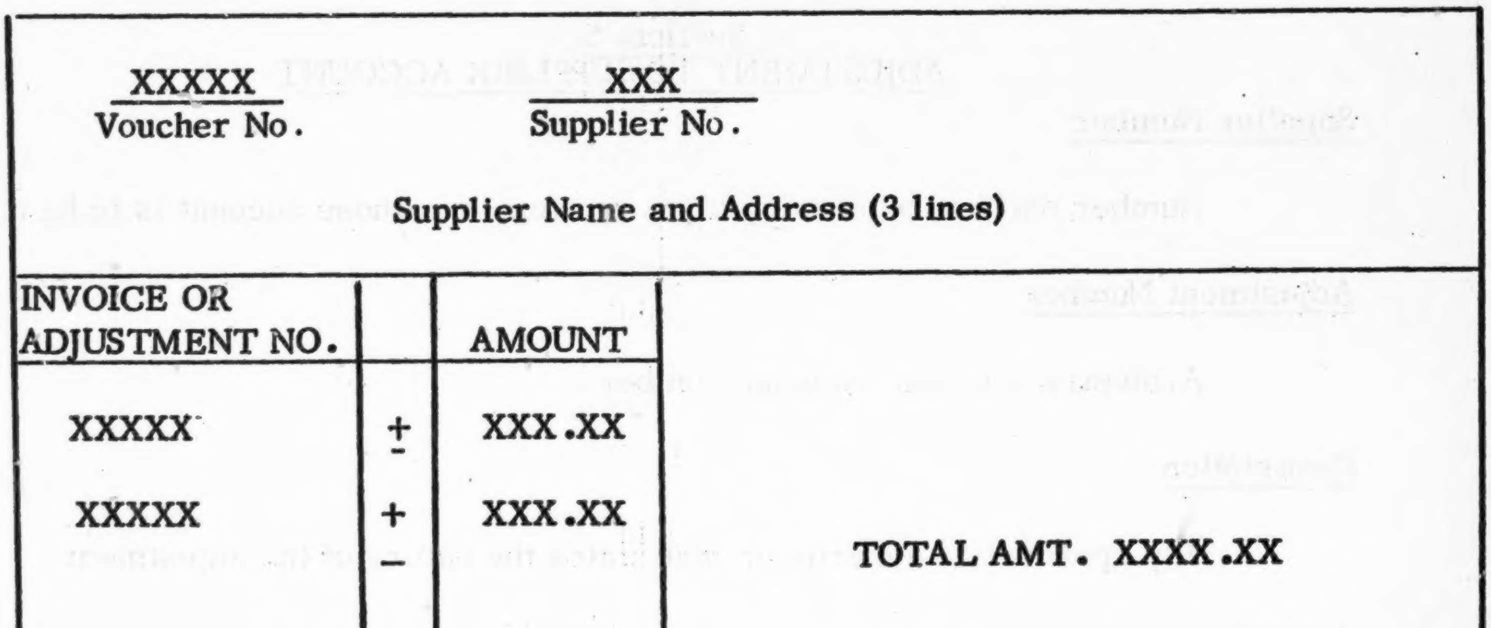
Delay Time

If it is desired to associate the supplier with a shipment-delay time different from the standard time used in the computer system, the delay time is entered here.

Section 7

Validated Voucher

The voucher is printed by the computer for validation by the accounting department. Reentry of the voucher no. into the system initiates the preparation of a check to the supplier. Derivation of data printed by the computer is described in IV C Section 5.



XXXXX
Voucher No.

XXX
Supplier No.

Supplier Name and Address (3 lines)

INVOICE OR ADJUSTMENT NO.		AMOUNT
XXXXX	±	XXX.XX
XXXXX	±	XXX.XX

TOTAL AMT. XXXX.XX

DIVISION C

DETAILED DESCRIPTION OF OUTPUTS

SECTION I

ORDER TO SUPPLIER

Order Number

Each order receives a number one higher than the number of the most recent order previously prepared by the computer.

Supplier Name and Address and Code

Taken from the most recent supplier description notice entered into the computer system.

Physical Preparation Center Name and Address

The preparation center code that is common to all requisitions on this order is matched against a table maintained by the machine containing the data from the most recent preparation center description notices entered into the computer system. The name and address are taken from the table entry that matches on preparation center code.

Item No.

All of the requsitions appearing on this order are grouped by item number. Each item number group accounts for one line on the order. The item number common to the group is printed in the item number column.

Bibliographic Description

The description is title, author, publisher, edition and date taken from the acquisition record on the item master file for this item number.

Unit Price

If unit price is present in the acquisition record on the item master file, it is printed here.

Quantity

Sum of the quantity on all of the requisitions in this group.

Amount

If no unit price is present, then amount is left blank. Otherwise amount is unit price multiplied by quantity.

The items on the order will be grouped by publisher and listed in publisher sequence.

Section 2

CANCELLATION REPORT TO SUPPLIER AND RETURN REPORT TO SUPPLIER

Cancellation or Return Number

Arbitrary machine-Assigned sequence number

Supplier Code

As on the cancellation or return notice

Supplier Name and Address and Preparation Center Name and Address

As on the original order or as in the acquisition record

Item Number, Binding

From the cancellation or return notice

Description, Unit Price, Quantity and Amount

As on the original order or as within the acquisition record

Section 3

Receiving Worksheet

The format of the receiving worksheet is described in IV B, Section 2.

Sheet Generated from Original Order

Supplier Name and Address, Supplier Code, Item Description, Item Number, Order Number, Binding Code

As on original order

Library Number, Collection Code, Quantity Ordered

From original requsition

Sheet Generated from Order Adjustment or Completed Receiving Worksheet

Supplier Code, Order Number, Item Number, Library Number, Collection Code

As on the adjustment or completed receiving worksheet. These codes on the receiving worksheet must match codes on an existing order in the machine file. This is not necessary for an order adjustment.

Supplier Name and Address

From the machine master file

Item Description

From the item master file

Quantity Due

Result of quantity entered on original order and additions or subtractions from subsequent adjustments or receipts.

Quantity Received

Result of quantities entered on receiving worksheets and order.

Section 4

INVOICE WORKSHEET

The format of the invoice worksheet is described in IV B, Section 4.

Supplier No., Invoice No., Item No., Binding, Quantity Invoiced

As entered on the original invoice notice

Bibliographic Description

This is title, author, publisher, edition and date taken from item master file record.

Invoice Total, Unit Price, Invoice Amount

Figure for unit price entered on invoice notice is validated by comparison with unit price maintained in the acquisition record. Invoice amount and invoice total are calculated. The Computer's unit price and the calculated amounts are printed on the worksheet; in case of a descrepancy between the printed amounts and those originally entered on the invoice notice, a flag is printed alongside the amounts.

Order No., Quantity Ordered, Quantity Received, Other Invoice Numbers and Quantities

Derived from the open order record for this supplier. The Quantity received column contains the total number of items received for this order number. If the order has been invoiced on several invoices, the invoice numbers and quantities are printed in the last column. If the invoice is for more than one order, each order no. is listed on a separate line.

Section 5

VOUCHER

The format of the voucher is described IV B, Section 7

Supplier Name and Address

As in the machine master file for this supplier. This data will have originated from a supplier description notice.

Voucher Number

Arbitrary machine-assigned sequence number. This will be the check number.

Invoice Number

As on the invoice worksheet.

Adjustment Number

As on the adjustment

Amount

From the invoice worksheet or the adjustment notice.

Total

This is the total of all amounts with plus and minus signs taken into consideration. A voucher will be printed for the negative amount in order to show the account status, but such a voucher would not lead to check generation. The voucher number for this case would be a special number, not in the regular sequence. Check numbers would therefore always be in proper sequence.

Section 6

Checks

All data appears exactly as it appeared on the voucher. The voucher number is the check number.

Section 7

CHECK REGISTER

Check Number, Supplier Number, Total Amount, Invoice and Adjustment Numbers and Amounts

As on the check.

Section 8

GENERAL LEDGER SUMMARY REPORT

The general ledger summary report is a listing, in supplier sequence, of all checks paid to that supplier, the invoice and adjustment numbers and associated amounts.

Section 9

ITEMS OVERDUE FROM SUPPLIER

Item Description, Order Date

As an order.

Normal Delay

From the latest data in the machine files this would be the delay time on the item description change notice, or the delay time on the supplier description notice, or the standard delay time as described in Division A, Section 4.

Actual Delay

Difference between order date and the date of the machine cycle that produced this report.

Amount Pending

The amount of the order not yet received. This would be the current amount shown in the machine files as a result of data from orders, order adjustments, completed receiving worksheets.

Section 10

CLAIMING LETTERS

All data is as shown on the overdue order report.

It is in the form of a letter to the supplier notifying him of the fact that ordered items have not yet been received at the preparation centers.

PART V

BOOK PROCESSING, SHIPMENT TO LIBRARY, AND LIBRARY BILLING

DIVISION A

FUNCTIONS OF INPUTS AND OUTPUTS

Section I

BOOK PROCESSING

a. Process Control Report

The production of processing control reports is described in Part IV, Div. A, Section 1, Article B.

One process control report will be available for each lot of books received (a lot is defined as a combination of order number and item number). This sheet will stay with a lot and guide the processing department in preparation of the books. Labels and catalog cards will have been filed along with the process control sheet. If the shipment was received as ordered, the printed information on the process control report will show how many copies are to be prepared for each library. However, if the number of copies received differs from the original order, then at the time of receipt, the receiving worksheet will have been altered to show the correct number of copies received and the number of copies to allocate to individual libraries. The process control report is a carbon copy of the receiving worksheet, and the changes will appear on the process control report also.

The process control sheet contains a check-off area on which the various processing steps can be checked off to control the progress of the work. When the processing is completed, the completed process control sheet will be filed in the processing department and the process completion card will be entered into the machine system to signal completion of processing (See Section 2, Article B).

b. Labels

One set of labels is produced for each copy of each item. If at the time of order the item had already been cataloged, then the labels are produced on the same cycle on which the receiving worksheet and process control report are produced. Otherwise, they are produced on the first printing cycle after the item is cataloged.

For each combination of order number and item number, one control label is produced in addition to the book labels. This control label shows the vendor, the order number and the item number. The information on this label allows the matching of remaining labels with the process control reports for filing in the receiving room.

For each copy of the item ordered, one each of the following is produced: Spine label, book card label, book pocket label.

c. Shelf List Card and Catalog Cards

A shelf list card is produced for each combination of order number, item number and library number, unless the order originated from a special requisition entry marked "no cards."

A set of catalog cards is produced for each combination of order number, item number and library number provided that the library has been marked in the machine master file as a library which gets cards, and the order did not originate from a special requisition entry that was marked "no cards."

Preceding all of the cards printed for a combination of order number and item number is a control card that contains supplier name and number, order number, and item number. This allows matching of the cards with the receiving worksheets so that they can be filed together in the receiving room.

For every special card request received, shelf list cards and catalog card sets are printed in the quantity specified on the card request.

d. Cross Reference Listing Report

For every combination of order number, item number and library number for which a set of catalog cards is printed, a list is printed of all cross references to any headings used on catalog cards. This list is filed together with the cards and goes out to the library with the cards.

Section 2

SHIPMENT TO LIBRARY

a. Process Completion Card

The computer punches order no., item no., and binding code onto a card. The card is forwarded to the physical preparation center along with the process control report, labels, and catalog cards. When processing is completed, the card is used to notify the State Center, via a punched card transmitter, that processing has been completed. The computer then produces data for shipping papers for the processed items.

If processing was completed for the batch as specified on the process control report (each library will receive the amount of items specified), then reentry of the punched card is sufficient information for producing shipping papers; all necessary data is retained in the computer files. However, if changes became necessary during processin (items were defective and must be returned, the count was wrong, etc.) a new card must be punched at the preparation center containing the changed data. The new card will contain library number and number of items processed for that library, plus item number, binding, and order number. This new data, entered into the system, will be used to update the corresponding files and produce the shipping papers for the processed items. If, after a set of shipping papers was prepared, it becomes necessary to make some adjustment to the data listed on the process control report (an error or defective item was found, for example) a new process completion card should be punched (with data reflecting the changed information) and transmitted to the State Center. The computer will update the files and transmit a new set of shipping papers.

b. Shipping Papers

A 3-part shipping paper set is printed on every shipping cycle for each library for which processing completion cards were entered since the last shipping cycle. The papers are printed in sequence by shipping group and library. The shipping group code is kept on the library master file and is used to group libraries together according to proximity for shipping purposes. One line appears on the shipping paper for every item no., order no. combination that has been processed and included in the data transmitted to the computer system on the process completion card. The computer searches the files and lists the number of items to be sent to each library.

One part of this set will go to the order department; two parts will go to the shipping room. The shipping room will prepare the shipment to the library based upon information in the shipping paper. It will file one part and send the other part to the library along with the items shipped. The shipping paper lists all items due for shipment to the library, the quantity of each, and the amounts for which the library will be billed.

Section 3

LIBRARY BILLING

a. Monthly Statement

Each month, a monthly statement is prepared for each library that is marked in the machine master file for direct billing. The statement lists the opening balance, all payments received since the last statement, shipments made to the library since the last statement, all adjustments entered against the library's account, and the closing balance. These classes of items are listed in the sequence given. At the bottom of the statement, a list is given of all items requsitioned by the library which have not yet been shipped.

b. Monthly Branch Budget Report

Each month one budget report is sent to each library that is marked in the master file for receipt of a budget report. A copy also goes to the system headquarters associated with that library. The budget report is just like the statement except that inputs representing payments from a library are replaced by budget adjustment inputs. Thus, the opening and closing balances show the remaining portion of the budget.

c. Monthly Statement to System Center

For each system center which is marked in the master file for receipt of statements, a statement is prepared each month. Normally, consolidated systems will be marked this way. The branch libraries will receive budget reports and the system center will receive the statements. The statement has one line for each library in the system, showing the total dollar amount of new activities since the last report. There is also one line for each payment received from the system center and one line for each account adjustment. Opening and closing balances are shown.

d. Payment Worksheet

Payments received from libraries should be in most cases accompanied by a stub torn from the monthly statement to the library. The payment worksheet is this stub when it is present. A special payment form is filled out at the State Center when payment is received without a stub.

e. Budget Adjustment

Any consolidated library system which wants the State Center to maintain budget information for that system and prepare monthly branch reports must furnish the State Center with the necessary budget information. This is done on the budget adjustment. A budget adjustment is submitted any time the central library wishes to show a change in the branch budget.

f. Adjustment to Library or System Account

This input allows for arbitrary adjustments to the amount due from the library or system. Adjustments may be increases or decreases.

Section 4

ADMINISTRATIVE INPUTS AND OUTPUTS

a. Library Description Notice

This is entered any time a new library is to be established in the machine system or a change is to be made in any description of a library currently in the system.

b. Library Description Audit Register

This register lists all new library descriptions or changes to library descriptions that have been entered into the system since the last printing of this audit register. It is a control tool that allows the staff to verify that the data has been correctly entered.

c. Adjustments to Library Account Audit Register

This register lists all adjustments to the library account that have been entered since the last time this register was printed. It is a control register that allows the staff to verify that adjustments have been correctly made.

d. Items Overdue at Library Report

The machine system will be supplied with a processing delay time that is to be added to the order delay time already described above in connection with the items overdue from supplier report. When the elapsed time since the library placed an item on order exceeds the sum of these two delay times, the item is lised on the items overdue at library report. The item is listed again on this report each time another interval equal to the processing delay time passes and the item still has not been reported as processed.

e. Reconciliation of Supplier Payments with Library Billing

This report is produced once per month. It shows one line for each combination of order number and item number represented in shipments made to libraries that month. It shows the total amount billed to all of the libraries involved in that combination of order number and item number, and it shows the total amount paid to the suppliers for that combination of order number and item number. A single total is also shown for all library billings and all supplier payments.

DIVISION B

DETAILED DESCRIPTION OF INPUTS

Section I

Process Completion Card

The process completion card punched by the computer and reentered into the system contains only the order number and item number.

XXXXX	**XXXXXXXXXXX**
Order No.	**Item No.**

The computer has the allocations of the various bindings to the different libraries.

The process completion card punched at the physical preparation center contains the order number, item number, binding, library no., and quantity.

XXXXX	**XXXXXXXXXXX**	**XX**	**XXXXXX**	**XXX**
Order No.	**Item No.**	**Binding**	**Library No.**	**Quantity**

Section 2

PAYMENT WORKSHEET

If payment from a library or system headquarters is accompanied by the stub removed from the statement, the amount preprinted on the stub is compared with the check amount. If they agree, then the check number is entered on the stub, and the stub is forwarded to the computer system. If the amounts do not agree, the correct amount is entered on the stub in the space marked "amount received," and the check number is entered on the stub. If the stub is not returned with the check, then the library number, check number, and amount are entered on a special payment form.

Section 3

LIBRARY DESCRIPTION NOTICE

Library No.

The number that is to be assigned or has been assigned to the library. First character is system code.

Physical Preparation Center No.

The number of the preparation center that processes items for this library.

Name and Address

The correct name and mailing address of the library.

Shipping Group Code

Code that groups libraries together according to proximity for shipping purposes.

Ordering Codes

1. Receives items on standing order
2. Uses multiple requisition worksheet
3. Uses requisition worksheet
4. Ordering restricted to item selected by system headquarters.

Budget Code

If the computer system is to maintain control over the library budget, it is indicated here.

Section 4

ADJUSTMENT TO LIBRARY OR SYSTEM ACCOUNT AND BUDGET ADJUSTMENT

Library or System No.

Number that has been assigned to library or system whose account is being adjusted.

Adjustment Number

Arbitrary machine assigned number

Description

Any appropriate description that states the nature of the adjustment.

Amount

Amount of adjustment preceded by a plus or minus sign.

DIVISION C

DETAILED DESCRIPTION OF OUTPUTS

Section 1

Process Control Report

This is a carbon copy of the receiving worksheet described in IVB, Section 2. Derivation of the printed data is described in IVC, Section 3.

Section 2

Process Completion Card

This punched card is described in V B, Section I. The order number and item no. are derived from the order; the card is punched in the same cycle that prints the receiving worksheet and process control report. The last card punched is a control card showing order no., the total number of cards punched for the order, and the name of the preparation center that is to process the items.

Section 3

Labels

Item Number, Title, Main Entry, Classmark

These are taken from the catalog information on the item master file.

Collection Code

This is copied from the requisition which generated the order.

Library Name

This is derived from the Library master file.

The last label printed for each batch is the control label which lists the order number, item number, total number of labels printed, and the name of the preparation center that is to process the item.

Section 4

SHELF LIST CARD AND CATALOG CARDS

The format and content of these cards can be varied by means of control notices entered by the staff at the State Center. See the system definition for the cataloging system for detailed information. The data for the cards comes from the cataloging information on the item master file.

Section 5

CROSS REFERENCE LISTING

The data for this listing is taken from the authority check file that is maintained in the cataloging system. See the system design specifications for the cataloging system for detailed information.

Section 6

SHIPPING PAPERS

Item Description

This originates from the item description carried for this item number in the item master file.

Number of Copies

This is as indicated on the order, on the receiving worksheet, on the order adjustment or on the process completion change card, whichever is the latest.

Price

The total amount billed on all invoices charged against the order number and item number combination from which this shipping paper line originated is calculated. This is divided by the total number of copies indicated on all of these invoices to give a unit price.

Amount

This is the unit price multiplied by the number of copies shown on the shipping paper. The shipping information is transmitted from the State Center to the

Physical Preparation Center where the printing will take place. If the data will be received on punched cards then a punched card accounting machine will be used. If the data will be received on paper tape, a tape activated typewriter can print the shipping papers.

SECTION 7

MONTHLY STATEMENT TO LIBRARY

Previous Balance

Same as balance due on previous statement.

Date

This is the date of occurrence of the action listed, as follows: For payments and account adjustments--day entered into machine system. For shipments to library--day on which machine printed the shipping papers.

Identification

This is the check number, adjustment number, or order number, depending upon whether the activity is a payment, account adjustment, or shipment.

Description

For a shipment, this is the item description taken from the item master file. For an adjustment, it is the description given on the input. For a payment the word "payment" is printed.

Debit or Credit

For the payment, the amount on the payment notice is listed as a credit. For an adjustment, the debit or credit amount from the input notice is listed. For a shipment, the amount due for the item, calculated as described above for the shipping papers, is printed as a debit.

Balance Due

The balance due is the previous balance plus all debits and minus all credits.

SECTION 8

MONTHLY BRANCH BUDGET REPORT

The fields on this report are derived exactly as those on the statement are derived, except that the payment notice input for the statement is replaced by the budget adjustment input for the budget report. In the description column, the words "Budget adjustment" are printed when a budget adjustment is listed.

SECTION 9

MONTHLY STATEMENT TO SYSTEM CENTER

Previous Balance

This is the balance due from the previous statement.

Date

This is the date associated with the activity, as follows: For payment or account adjustment--date entered into computer system, for library billing--date of most recent budget report to the library.

Identification

This is check number, adjustment number, or library number depending on whether the activity is a payment, account adjustment or library billing.

Description

For a payment, the word "payment" is printed. For an adjustment, the description from the adjustment is printed. For a library billing, the library name is printed.

Debit or Credit

The amount of the payment notice is reported as a credit. A debit or credit, as indicated on the adjustment notice, is reported for the adjustment amount. For a library billing all debits reported on shipment lines or adjustment lines on the most recent budget report are added. All credits reported on shipment lines or adjustment lines are subtracted from this total. If the total is positive, it is reported as a debit. If it is negative, it is reported as a credit.

Closing Balance

This is the opening balance plus all credits and minus all debits.

SECTION 10

LIBRARY DESCRIPTION AUDIT REGISTER AND ADJUSTMENTS TO LIBRARY ACCOUNT AUDIT REGISTER

These registers are control tools that allow the staff to verify that adjustments have been correctly made. The computer lists, in date and library sequence, all changes to library descriptions and accounts that have been entered on the following notices:

Adjustment to Library or System Account
Library Description Notice

SECTION 11

ITEMS OVERDUE AT LIBRARY REPORT AND RECONCILLIATION OF SUPPLIER PAYMENTS WITH LIBRARY BILLING

These reports are adequately described in VA section 4, D and E.

PART VI

MISCELLANEOUS ADMINISTRATIVE FUNCTIONS

SECTION 1

THE STATUS REPORT

The status report is prepared on every basic cycle of the system. It lists items in title author sequence; it lists every item which is in active status and it shows the status of the item. An item is in active status from the time it enters the system until one of the following occurs.

1. An item description change is entered deleting the item from the system;

2. 3 weeks have elapsed since the last catalog worksheet was submitted for the item and 2 weeks have elapsed since the last process completion card was submitted for the item and no further requisitions have been entered for the item.

SECTION 2

CHANGES BY THE CATALOG DEPARTMENT

The computer system will independently maintain descriptive information about the item submitted by the acquisitions and cataloging departments. Thus, the two departments may submit different forms of title, author and publisher. Whenever the catalog department enters a catalog worksheet for the item, those elements of descriptive information which are common to both the acquisitions and cataloging records will be compared. If the catalog deparment has entered the information differently then this will be reported to the acquisitions department. The acquisitions department may then take the option of changing the information in the acquisitions record or letting it remain.

SECTION 3

REQUESTS FOR ADDITIONAL PREPARATION MATERIALS

This request is submitted when for any reason at any time it is desired to have additional labels, or catalog cards. The material indicated on the request will be printed on the next cycle of such printing.

SECTION 4

ERROR REPORTS

When the computer discovers any errors on the inputs to the system, these errors will be listed on the various error reports; they are then forwarded to

appropriate departments for correction.

Errors that originated at libraries are listed on the Report to Library of Activity Not Processed, described in Part III (this report will probably first be reviewed at the State Center and simple corrections will be made there). Errors found on inputs prepared by the catalogers will be forwarded to the cataloging group for review and correction. These error reports are described in the separate specifications for the cataloging system. The preparation centers will be notified of any errors found on inputs prepared in their receiving room or during processing. The State Center staff will receive reports of errors that originated in its receiving room, order department, or accounting department. The item number error report is described in Part III. If the data that is in error is part of the information that is to be printed by the computer on a worksheet, the data will be printed on the worksheet followed by a flag (an asterisk *, for example) indicating the need for correction. The error will not appear on the error report.

Any input which can not be processed because of an error will be listed on the error report. The input will be printed in its original form with the elements in error flagged. An input can not be processed if some data, necessary for processing, is missing, incomplete, or entered invalidly.

The following three cases are examples of errors discovered by the computer system and action taken to correct the errors.

1. The item number on a line of an invoice notice was entered incorrectly; too few or too many digits or missing completely. The computer will print the invoice worksheet with a flag next to the wrong item number; the worksheet will be sent to the accounting department for correction. The error will not appear on any error report.

2. The item number on an order adjustment was entered incorrectly. The order adjustment will be printed on an error report with the item number flagged, along with all other inputs prepared by the order department and found to be in error.

3. There will be instances when the computer will not be able to decide which department originated the input. This can occur if the record identification is entered incorrectly or the input is of the type that can be prepared by more than one department. In these cases, the inputs will be listed one to a page. An investigation by a staff member at the State Center will be necessary to ascertain which department is best qualified to make the corrections.

PART VII

RELATION TO CATALOGING FUNCTION

The acquisition system defined here has been designed as part of a larger overall system which deals with both cataloging and acquisition inputs. This report confines itself to the acquisition functions. However, to a certain extent it has been necessary to mention cataloging inputs because of their close relationship to the acquisition functions. The full detail of the cataloging portion of the system is defined in another document which has been submitted to the New York State Library. In this part of the present report, the two functions of the system will be tied together, a summary of the inputs and outputs involved in the cataloging function will be given, and a discussion will be given for those inputs and outputs which have application to both cataloging and acquisition.

SECTION 1

CATALOGING INPUTS AND OUTPUTS

The following inputs are used to carry out the cataloging functions of the system:

1. Catalog Worksheet. This is used to enter the information that will appear in the catalog record for the item, or to make changes to previously entered catalog information.

2. Authority File Worksheet. This is used to enter new or changed information to authority file data held in the computer system. Such data would include authorized forms for subjects, names and any other forms established by the library.

3. Established Form Change Notice. This is used to make certain changes in the authority file which must then be carried over to every item in the catalog which contained the heading that is being changed.

4. **Special Request Notice**. This is submitted in order to obtain a reprinting of proof copy or to cause an item to be accepted into the catalog without the normal delay for proofreading or to cause an item to be held out of the catalog until problems can be investigated.

The following outputs result from the exercise of the cataloging functions:

1. **Proof Copy**. Each new catalog entry or change to an old catalog entry is printed out in the form of proof copy. This is inspected by the cataloging staff before the entry is accepted into the catalog.
2. **Authority File Proof Copy**. All additions and changes to the authority file are printed out for proofreading.
3. **Library of Congress Proof Copy**. Before the cataloger starts work on an item, the system is instructed to search for Library of Congress copy. If it is found, it is printed out for inspection by the cataloger.
4. **Authority File and Authority File Supplement**. Printed listings of the authority file are furnished for use by the staff.
5. **Book Form Catalogs**. The system is capable of producing catalog output in book form. A main catalog and periodic supplements can be produced.
6. **Catalog Cards**. Catalog cards, already described as an output of the acquisition system, are a result of the cataloging input.

SECTION 2

INPUTS AND OUTPUTS THAT RELATE TO BOTH ACQUISITION AND CATALOGING

Each of the following articles describes an input or output that is involved in both cataloging and acquisition functions, and discusses the relation of that input or output to each of the functions.

a. Acquisition or Special Requisition Notice, Selection Worksheet

These notices serve as the initial entry to the acquisition system and furnish the information with which orders can be placed. In addition, if other more complete sources of the bibliographic information, such as Library of Congress copy, are not available, then the information in these notices will be printed out for inspection by the cataloger; if he finds the information there satisfactory, he may indicate that it is to be accepted for the catalog entry. In some cases, this may save a certain amount of additional writing. The machine takes receipt of these notices as a signal to find Library of Congress copy if it is available and prints out the Library of Congress proof sheet for the cataloger.

b. Completed Receiving Worksheet

If the entry of the item into the system was through a special requisition, then printing of the Library of Congress copy at that time would be too early. The printing of Library of Congress copy is deferred until the item is reported on a receiving worksheet. On the cycle on which this notice of receipt is entered, Library of Congress copy is printed if available.

c. Bibliographic Information Record

The use of bibliographic information records in printed lists intended to serve as selection guides has been discussed in previous pages. In addition, the bibliographic information record serves as a guide to the cataloger. In particular, the Library of Congress record is his primary source of information if it is available. The system as presently constituted will automatically accept Library of Congress information into the catalog if the cataloger so indicates.

d. Spine Labels, Book Card Labels, Book Pocket Labels

These labels are printed for use in the physical book preparation process. However, the labels cannot be printed until the cataloging is completed since these labels must contain the class number assigned to the book. In addition, the author and title information used on these labels is taken from the cataloging record rather than from the acquisition record (which is created by entry of a new item) if there is any difference between them.

e. Changes Made by the Cataloging Department

As discussed above in Part VI, the record created by the new title notice is maintained in the files independent of the record created by the cataloging department. However, the machine checks for differences between these two records and the acquisition department is notified of any different decision which the cataloging department may have made about the form of the author, title or publisher. The acquisition department then has the opportunity to adjust its records in accordance with this information.

f. Status Report

The status report serves both the cataloging department and the acquisition department. It is essentially an in-process listing which either department can use to determine what orders have been placed but not yet received for certain titles; how many copies have been received and are in process; whether or not the title has been cataloged yet; whether or not the title is recommended; and how many copies have been shipped to ordering libraries.

g. Book Catalogs and Catalog Cards

The catalog cards are handled as part of the acquisition system because they go along with book preparation and must be included with the book when they are sent to a member library. On the other hand, they are clearly entirely an output of the cataloging process of the system. The book catalog, in addition to serving as the public reference tools, are general reference sources for both the cataloging and acquisition departments since they contain in complete and convenient form the information about the present content of the catalogs of the library systems.

PART VIII

SUMMARY OF SYSTEM

INPUTS AND OUTPUTS

SECTION 1

SYSTEM INPUTS

1. Bibliographic Information Record
    a. Cataloging Data received from LC
    b. Advance Publication Information
2. Selection Worksheet
3. Acquisition Notice
4. Special Requisition Notice
5. Multiple Requisition Worksheet
6. Item Information Worksheet
7. Item Master File Notice
8. Withdrawal Notice
9. Return Notice
10. Item Number Change Worksheet
11. Review Notice
12. Requisition Cancellation (manually processed)
13. Order Adjustment
14. Receiving Worksheet
15. Invoice Notice
16. Invoice Worksheet
17. Adjustment to Supplier Account
18. Supplier Description Notice

19. Validated Voucher

20. Process Completion Card

21. Payment Worksheet

22. Library Description Notice

23. Adjustment to Library or System Account

24. Budget Adjustment

SECTION 2

SYSTEM OUTPUTS

1. Standing Order Receiving Set

    a. Selection Worksheet
    b. Multiple Requisition Worksheet
    c. Claiming Letter for Standing Order

2. Requisition Guide

3. Requisition Worksheet

4. Item Information Worksheet

5. Item Number Change Worksheet

6. Item Number Error Report

7. Report to Library of Activity Not Processed

8. Audit Report of Item Master File Changes

9. Order to Supplier

10. Cancellation Report to Supplier

11. Return Report to Supplier

12. Receiving Set

    a. Receiving Worksheet (2 copies)

   - b. Process Control Report
   - c. Process Completion Card

13. Invoice Worksheet
14. Voucher
15. Check
16. Check Register
17. General Ledger Summary Report
18. Items Overdue from Supplier
19. Claiming Letter
20. Label (spine, pocket, card)
21. Shelf List and Catalog Card
22. Cross-Reference Listing
23. Shipping Paper
24. Monthly Statement to Library
25. Monthly Branch Budget Report
26. Monthly Statement to System Center
27. Library Description Audit Register
28. Adjustment to Library Account Audit Register
29. Items Overdue at Library Report
30. Reconciliation of Supplier Payment with Library Billing
31. Status Report
32. Error Report

PART IX

ENTRIES FOR THE CODE LISTING

Library or System Code (6)

Each library and each system will be assigned an identifying code. The first 2 characters identify the system. The third character identifies the preparation center. The last 3 characters are the library number.

Physical Preparation Center Code (1)

Each preparation center will be assigned an identifying code. No decision on a code structure is proposed. One character should be sufficient.

Record ID (3)

Identifies which of the various record types used in the system this is. If the record is of the type which can indicate addition, deletion or change, then the first two characters are the basic Record ID and the last character is A, D or C to indicate addition, deletion or change.

Type of Material (2)

Identifies, book, filmstrip, etc. No decision on a code list is proposed here. It is suggested that the "physical form" codes that are finally adopted for cataloging use would be appropriate for use here.

LC Card Number

See item number.

New York Item Number

See item number.

Item Number (11)

This is the unique identification of this item. It is always LC card number if this is known. Otherwise, it is an arbitrarily assigned New York number. It is proposed that the structure of the New York number be:

Maximum length - 11 characters
Last character - Letter "N"
Leading characters - pure numeric

This will distinguish the number from an LC card number which always has a numeric final character.

Binding Code (2)

Each type of binding will be assigned an identifying code. Two characters should be sufficient to uniquely identify each type of binding. Any unique physical characteristic of an item that changes the price will be included under the binding code. If a library, when completing a notice, is not aware of the code for the binding of an item, SP (for special) is noted in the binding code field and the binding is described in the provided field.

Collection Code (2)

This designates the portion of the library's collection in which the item is held or is to be held. Statewide uniformity in collection codes is not necessary for the operation of the system, but it might have some advantages. A suggested list of collection codes would be the following:

R - Reference
J - Juvenile
YA - Young Adult
No code - The regular adult collection

Local Acquisition Code (1)

Used on a selection worksheet in connection with books received on standing order. Indicates whether the book is to be acquired for the collection associated with the receiving point and whether it is recommended for acquisition. This allows recommendation of the item to system members and acquisition of the item by the central collection to be separately designated for those systems that review and select items before ordering.

A - Item is to be acquired
R - Item is not to be acquired but is recommended for member libraries.

Processing Code (1)

Used for Acquisition, Special Requisition and Selection. If the library wants processing to take place at the preparation center, P is entered. If local processing is desired, an L should be entered.

Supplier Code (3)

Every supplier with whom orders are placed will be assigned a three-character identifying code. No recommendation is given here for the code structure.

Ordering Code (1)

Used on Library Description Notice to indicate form of ordering.

S - Receives items on standing order
M - Uses multiple requisition worksheet and requisition guide
R - Uses requisition worksheet
H - Ordering restricted to items selected by system headquarters.

Grouping Code (1)

Each library within the group served by one preparation center will be assigned a code to group libraries together according to proximity for shipping purposes. No code structure is proposed here.

Journal Code

Commercial journals, such as Kirkus, Choice, Library Journal, etc., will be assigned an identifying code to be used when preparing the review notice. These codes will also be printed, along with the issue number, on the requisition worksheets. A condensation of the journal name would probably be the best type of code.